

U.S. Department of Education

Washington, D.C. 20202-5335



APPLICATION FOR GRANTS UNDER THE

**STATEWIDE LONGITUDINAL DATA SYSTEM RECOVERY ACT GRANTS
CFDA # 84.384A
PR/Award # R384A100022**

Closing Date: DEC 04, 2009

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424		Version 02	
* 1. Type of Submission		* 2. Type of Application:* If Revision, select appropriate letter(s):	
<input type="checkbox"/> Preapplication		<input checked="" type="checkbox"/> New	
<input checked="" type="checkbox"/> Application		<input type="checkbox"/> Continuation * Other (Specify)	
<input type="checkbox"/> Changed/Corrected Application		<input type="checkbox"/> Revision	
* 3. Date Received:		4. Applicant Identifier:	
12/3/2009			
5a. Federal Entity Identifier:		* 5b. Federal Award Identifier:	
		na	
State Use Only:			
6. Date Received by State:		7. State Application Identifier:	
8. APPLICANT INFORMATION:			
* a. Legal Name: New York State Education Department			
* b. Employer/Taxpayer Identification Number (EIN/TIN):		* c. Organizational DUNS:	
146013200		806782173	
d. Address:			
* Street1:		89 Washington Avenue	
Street2:			
* City:		Albany	
County:		Albany	
State:		NY	
Province:			
* Country:		USA	
* Zip / Postal Code:		12234	
e. Organizational Unit:			
Department Name:		Division Name:	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:		Ms.	* First Name: Theresa
Middle Name:		E	

* Last Name: Savo

Suffix:

Title: Deputy Commissioner

Organizational Affiliation:

* Telephone Number: (518)474-2587

Fax Number:

* Email: TSAVO@MAIL.NYSED.GOV

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

10. Name of Federal Agency:

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.384A

CFDA Title:

Statewide Longitudinal Data System Recovery Act Grants

*** 12. Funding Opportunity Number:**

ED-GRANTS-072909-001

Title:

Statewide Longitudinal Data Systems Under the American Recovery and Reinvestment Act of 2009

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

P20 Longitudinal Data System

Attach supporting documents as specified in agency instructions.

Attachment:

Title :

File :

Attachment:

Title :

File :

Attachment:

Title :

File :

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant: 21

* b. Program/Project: 21

Attach an additional list of Program/Project Congressional Districts if needed.

Attachment:

Title :

File : C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309\United State Senators and representatives.doc

17. Proposed Project:

* a. Start Date: 4/1/2010

* b. End Date: 3/31/2013

18. Estimated Funding (\$):

a. Federal	\$ 19874733
b. Applicant	\$
c. State	\$
d. Local	\$
e. Other	\$
f. Program Income	\$
g. TOTAL	\$ 19874733

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on .

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☒ c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

☐ Yes ☒ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: Ms. * First Name: Theresa
Middle Name: E
* Last Name: Savo
Suffix:

Title: Deputy Commissioner

* Telephone Number: (518)474-2547 Fax Number:

* Email: TSAVO@MAIL.NYSED.GOV

* Signature of Authorized Representative: * Date Signed:

Application for Federal Assistance SF-424 Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

United State Senators

Schumer, Charles E

Gillibrand, Kirsten E.

New York State Congressional Delegation

Ackerman, Gary, New York, 5th

Arcuri, Michael A., New York, 24th

Bishop, Timothy, New York, 1st

Clarke, Yvette D., New York, 11th

Crowley, Joseph, New York, 7th

Engel, Eliot, New York, 17th

Hall, John J., New York, 19th

Higgins, Brian, New York, 27th

Hinchey, Maurice, New York, 22nd

Israel, Steve, New York, 2nd

King, Pete, New York, 3rd

Lee, Christopher J., New York, 26th

Lowey, Nita, New York, 18th

Maffei, Daniel B., New York, 25th

Maloney, Carolyn, New York, 14th

Massa, Eric J.J., New York, 29th

McCarthy, Carolyn, New York, 4th

[Unfilled], New York, 23rd

McMahon, Michael, New York 13th

Meeks, Gregory W., New York, 6th

Murphy, Scott, New York, 20th

Nadler, Jerrold, New York, 8th

Rangel, Charles B., New York, 15th

Serrano, José E., New York, 16th

Slaughter, Louise, New York, 28th

Tonko, Paul D., New York, 21st

Towns, Edolphus, New York, 10th

Velázquez, Nydia M., New York, 12th

Weiner, Anthony D., New York, 9th

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
New York State Education Department

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 464,500	\$ 478,435	\$ 577,659	\$ 0	\$ 0	\$ 1,520,594
2. Fringe Benefits	\$ 198,202	\$ 204,148	\$ 246,487	\$ 0	\$ 0	\$ 648,837
3. Travel	\$ 140,000	\$ 110,000	\$ 70,000	\$ 0	\$ 0	\$ 320,000
4. Equipment	\$ 330,000	\$ 0	\$ 400,000	\$ 0	\$ 0	\$ 730,000
5. Supplies	\$ 1,500,000	\$ 300,000	\$ 400,000	\$ 0	\$ 0	\$ 2,200,000
6. Contractual	\$ 3,740,000	\$ 5,050,000	\$ 5,200,000	\$ 0	\$ 0	\$ 13,990,000
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 6,372,702	\$ 6,142,583	\$ 6,894,146	\$ 0	\$ 0	\$ 19,409,431
10. Indirect Costs*	\$ 142,137	\$ 146,400	\$ 176,765	\$ 0	\$ 0	\$ 465,302
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 6,514,839	\$ 6,288,983	\$ 7,070,911	\$ 0	\$ 0	\$ 19,874,733

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☒ Yes ☐ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 4/1/2009 To: 3/31/2010 (mm/dd/yyyy)

Approving Federal agency: ☒ ED ☐ Other (please specify): _____ The Indirect Cost Rate is 30.6%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

☐ Is included in your approved Indirect Cost Rate Agreement? or, ☐ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is 0%



U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
New York State Education Department

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY

NON-FEDERAL FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
3. Travel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
10. Indirect Costs	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Representative:

Name of Authorized Certifying Representative: Theresa E. Savo

Title: Deputy Commissioner

Date Submitted: 12/03/2009

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action: <input type="checkbox"/> Contract <input checked="" type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance		2. Status of Federal Action: <input checked="" type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award	3. Report Type: <input checked="" type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change For Material Change only: Year: 0Quarter: 0 Date of Last Report:
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: 0 Name: New York State Education Department Address: 89 Washington Avenue City: Albany State: NY Zip Code + 4: 12234- Congressional District, if known:		5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Name: Address: City: State: Zip Code + 4: - Congressional District, if known:	
6. Federal Department/Agency: United States Education Department		7. Federal Program Name/Description: Institute of Education Sciences CFDA Number, if applicable: 84.384	
8. Federal Action Number, if known:		9. Award Amount, if known: \$0	
10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: -		b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: -	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Name: Theresa E. Savo Title: Deputy Commissioner Applicant: New York State Education Department Date: 12/03/2009	
Federal Use Only:			Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

APPLICANT'S ORGANIZATION

New York State Education Department

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Ms. First Name: Theresa Middle Name: E
Last Name: Savo Suffix:
Title: Deputy Commissioner

Signature: Date:
12/03/2009

**SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION GRANTS**

1. Project Director:

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
Mr.	Peter		Rooney	

Address:

* Street1: 89 Washington Avenue

Street2: Room 301

* City: Albany

County: Albany

* State: NY* Zip / Postal Code: 12234 * Country: **USA**

* Phone Number (give area code)	Fax Number (give area code)
(518)474-5012	

Email Address:

PROONEY@MAIL.NYSED.GOV

2. Applicant Experience

Novice Applicant ☐ Yes ☐ No ☒ Not applicable

3. Human Subjects Research

Are any research activities involving human subjects planned at any time during the proposed project period?

☐ Yes ☒ No

Are ALL the research activities proposed designated to be exempt from the regulations?

11 Yes Provide Exemption(s) #:

11 No Provide Assurance #, if available:

Please attach an explanation Narrative:

Attachment:

Title :

File :

Project Narrative

Project Narrative - Project Abstract

Attachment 1:

Title: Pages: **0** Uploaded File: **C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309
\part 5 Abstract for submission.pdf**

Abstract

New York State LDS

The Board of Regents and the Commissioner of Education of New York State are committed to creating a Longitudinal Data System that supports their education goals for the state. They are further committed to assuring quality by authorizing the creation of a system that incorporates the seven data system capabilities and twelve data system elements defined by NCES.

The proposal that follows contains the blueprint for New York State's continuing journey towards the creation of a comprehensive P20 Longitudinal Data System.

This proposal incorporates all seven data system capabilities and twelve data system elements in six overarching objectives:

1. The Expansion of the Current LDS to include student-teacher matching along with the collection of a new set of data elements to support continuous improvement.
2. The creation of the “building blocks” for a full P20 system, including a re-engineering of the current P12 system, the creation of Longitudinal Data Systems for the state's public university systems, and an outreach to State Agencies housing workforce, health, and social service data.
3. The creation of an Instructional Support system providing teachers and other education professionals with information to support continuous improvement.
4. The creation of a Data Base to support research and policy analysis.
5. The creation of a system for tracking student progress and outcomes over time, including students' preparation to meet the demands of postsecondary education, the 21st century workforce and the Armed Forces.
6. The creation of processes to ensure quality and integrity of data across all systems.

The outcomes, products, and processes that will result from these activities will provide New York State and its residents with a rich resource. Properly deployed and supported this resource will enhance the education of children in the state, create an environment for supporting research and policy analysis, and form a foundation for the continuous analysis and improvement of the state's education structure.

Project Narrative

Project Narrative - Project Narrative

Attachment 1:

Title: Pages: **0** Uploaded File: **C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309
\part 6 ies narrative for submission with steiner changes.pdf**

Section 6: Project Narrative

a) Need for Project

The New York State Board of Regents has embarked on a far-reaching campaign to transform education and close the achievement gap in New York State. The Regents believe that a comprehensive P20 Longitudinal Data System (LDS) is an essential tool in reaching their goals, and they are taking a series of major actions to complete the system during the next several years.

The Board of Regents sets educational policy for New York and governs the University of the State of New York (“USNY”), the most comprehensive and unified educational system in the nation. The University, established in 1784 and recognized by the State Constitution, is a legal corporation with broad powers that encompasses all of education from birth through adulthood and includes more than 225 public and private colleges and universities, 5,000 public and private schools, nearly 7,000 libraries, 750 museums, and 25 public broadcasting facilities. The Regents also license and regulate a million professionals practicing in 47 fields, and certify 250,000 public school teachers and administrators. The State Education Department is the administrative arm of the Board.

The Regents have applied for and received major foundation grants to help fund their reforms thus far. In 2007, the Board received \$6.2 million in support from the Bill & Melinda Gates Foundation and The Wallace Foundation for work to improve New York State’s high-school graduation rates, college readiness and college completion rates. In cooperation with the Parthenon Group, the Regents developed a detailed action plan for a comprehensive P20 data system. The Regents and our P20 partners – including representatives from the State University of New York (SUNY), the City University of New York (CUNY), and the New York City, Yonkers, and Syracuse City school districts – have all signed a memorandum of understanding to carry out the work. (Please see attached MOU.)

The current P12 LDS has been in place for seven years, and each year has brought expansion and improvement. The system reports on six years of student data with unique identifiers and includes demographic, enrollment, program participation, and assessment information. It includes general education as well as special education data domains.

Through funds already provided by the Institute of Education Sciences (IES), we have active initiatives in place to ensure data quality, strengthen the ability to audit data, improve the nature and extent of data reporting to school districts, design and implement an instructional support reporting center, provide standardized training to school district data administrators, and create standards for vendors of Student Management Systems (SMS) for compliance with LDS data needs. Additionally, these funds support planning for an architectural redesign of the system to include an Operational Data Store as well as planning the expansion of the system to P20.

The State Education Department (SED) also already maintains a database containing unique teacher IDs, as well as information about each teacher’s preparation program, credentials, and professional development activities. This extensive teacher data system places New York in an

excellent position to leverage its longitudinal data system to advance instructional improvement and reform.

All of these factors combined – an established and expanding P12 longitudinal data system, an integrated State-funded higher education system, a sophisticated teacher database, a commitment by the K-12 and higher education systems, and a reform mandate from the Board of Regents – position New York to lead in developing and carrying out the initiatives promulgated by the federal government and IES.

As outlined in Appendix C, New York has made progress in all seven data system Capabilities identified in section *IV. Statewide Longitudinal Data System Requirements*. Two of the 12 Elements have been completed and progress has been made in seven Elements. The requested application will allow New York to develop all Capabilities and Elements identified in section IV. Please see the features matrix in Appendix C for a complete status of New York's LDS as it relates to the required elements and capabilities. It will be noted that New York has either incorporated each item in its current LDS, is in the process of doing so, or is planning to do so in accord with the activities of this grant proposal.

This proposal leverages the existing data with a newly created Instructional Support network that will supplement access to data with training and technical assistance. The expansion of the LDS in the areas of teacher-student linkages, additional data elements, an integrated P20 system, an instructional support system, integration between the data system and policy analysis activities, an enhanced process for tracking student progress over time, and additional data quality procedures will all combine to provide essential information that can inform and guide the State's activities related to the education reform goals set by the Board of Regents and outlined in the State Fiscal Stabilization Fund.

b) Project Outcomes Related to System Requirements and Implementation

This proposal is organized into six interrelated objectives. Each objective is broken into sub-activities that address one or more of the seven Capabilities and 12 Elements. (Please see Appendix C.) The completion of all objectives will ensure that New York's data system is well-positioned to innovate and expand upon the solid foundation envisioned in the IES grant requirements and the America Competes Act.

Objective 1: Expand the current P12 LDS to include student-teacher linkages and other related P12 data elements.

The State is working to produce a system that matches teachers and their preparation programs to K-12 courses to enrolled students to performance assessments, attendance, discipline, and related indicators. In order to create the needed student-teacher and other linkages, the following activities are proposed:

Activity 1.1: Integrate a Unique Teacher Identifier into the LDS. Addresses Capabilities 3, 4, 5, 6 and Elements 5, 8, 9, 12

In order to link teachers to student performance data, a standardized universal teacher ID system must be incorporated into the Student Information Repository System or SIRS – the State’s LDS. New York State has a set of teacher IDs and a teacher data system already in place to help facilitate this process. The State Education Department’s Teacher Certification Office has a comprehensive system (called TEACH) that tracks the certification status of all teachers and administrators (including the date of application, date of issuance, expiration, and renewal) and includes teacher demographics, preparation program, and teacher ID. The already existing unique teacher identifier present in the TEACH system will be utilized in the LDS, thereby avoiding complicated teacher identifier algorithms and duplication of effort.

The activity being proposed here will create work products that will:

- a) Standardize the import of teacher demographic information, from an LEA’s Human Resource (HR) system, and teacher course assignment information, from an LEA’s Student Management System, into the State’s LDS.

The State has been successful in standardizing data imports from Student Management Systems (SMS) into the LDS. This has been accomplished by adopting a standard LDS data model and providing a statewide standardized tool that facilitates the extraction and transformation of the required data elements from the SMS into the LDS.

This same process will be replicated to extract, transform, and load teacher demographic and course assignment information from the LEA into the State’s LDS. A standard data model will be created and established in the LDS. A front-end tool will be created for LEAs to utilize in the extraction and transformation process. Loading routines will move these data into the LDS.

- b) Create a mechanism for matching teacher demographic and course assignment information imported from the LEAs with teacher certification and preparation program information in the State’s TEACH database.

In order to leverage the State’s existing database of teacher certification and preparation information, along with an already existing unique teacher identifier, it will be necessary to establish an interoperability framework between the LDS and the TEACH system. This will involve the creation of a matching algorithm that ensures a unique one-to-one match between a teacher in the LDS and that same teacher in the TEACH database. Once matched, another extraction, transformation, and load process will be created to move relevant teacher data from the TEACH system to the LDS. Cross-walk edits will be added to ensure the consistency of the data in the two source systems.

Activity 1.2: Create and Implement a Common Set of Course Codes
Addresses Capabilities 1, 3, 5, 7 and Elements 2, 3, 9, 10, 11

The State’s school districts use a wide variety of Student Management Systems (SMS), course titles and course codes. This plan will create a system of standardized course codes. Specifically, we will create work products to:

- a) Establish a standard data model that incorporates all data fields related to course code.

The State's LDS already utilizes a data model created by eScholar LLC. The State will adopt the eScholar Course Delivery Model as its standard for collecting course data from SMS systems. This model is extensive and includes all data requirements needed to match every teacher to the students enrolled in each section of a school's master course schedule.

- b) Establish a standard system for extracting, transforming, and loading related data from SMS to LDS.

Once the data model is in place, the State-developed front-end tool will be expanded to include this data domain. This will provide LEAs with a familiar interface that will be used to extract, transform, and load the required data.

- c) Establish a Longitudinal School Course Classification System.

In June 2007, NCES published its "Secondary School Course Classification System: School Codes for the Exchange of Data". The State will adopt this taxonomy as its standard for secondary course codes. The State already has a system already in place that can assist in standardization of elementary course codes. The New York State Basic Education Data System (BEDS) already contains a unique coding system that can link teachers and students. These codes will be adopted as the LDS standard for elementary courses until a national standard is established by NCES.

- d) Publish a standard list of required course codes.

Common course codes are necessary for collecting and reporting data in the LDS. In particular, they will allow the State to link student performance data to their assigned teachers, as well as to develop standardized student transcripts. In order to facilitate the development of standard course codes, the State will adapt the NCES and BEDS taxonomy to create a set of common course codes for reporting purposes. This will be accomplished through the governance structure defined by the P20 data system MOU and the current IES grant and will utilize Department resources, consultant support, and a panel of instructional specialists and school administrators.

Since there is great variety in existing course codes, New York's solution will likely involve providing LEA's with a choice either to use the standard course codes in their district operations or incorporate a conversion table in their local SMS that transforms local course codes into the State's standard set of codes. These codes will then be extracted, transformed, and loaded into the LDS.

- e) Establish standards for SMS vendors.

With current IES funding, the State is already in the process of requiring SMS vendors to comply with its data standards. The State Education Department website includes a vendor page to keep vendors informed of existing and planned data standards. Data standards are being established to

require that SMS vendors create a field for maintaining the State's course code, as well as transforming any local codes into the State's common set of codes for loading into the LDS.

Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking

Addresses Capabilities 1, 3, 5, 7 and Elements 2, 3, 9, 10, 11

In order to implement a system that expands the existing LDS, it will be necessary to provide clear guidance and training for LEAs. The District Data Coordinator Technical Assistance Center (TAC), through funding provided by the current IES grant, will play a major role in assisting school districts in their efforts to meet the challenges of collecting these additional data elements.

In addition, New York State has the benefit of an already-linked network of public sector partners who work with schools across the state on all matters related to the LDS. Known as Level 1 Data Centers, these partners consist of the data centers of the Big 5 city school districts (New York City, Rochester, Syracuse, Buffalo, and Yonkers) and 12 Regional Information Centers (RICs), which are part of the NYS BOCES system (Boards of Cooperative Education Services). These partners will be fully informed and take part in the development of the products related to linking student data to teachers. They will work in collaboration with the TAC to help create training and guidance products that are responsive to the needs of the LEAs in their regional network, and will provide ongoing support to schools as the new system expansion is implemented.

Activity 1.4: Expansion of the LDS to include other key data elements in support of teacher-student linking

Addresses Capabilities 1, 2, 3, 5, 7 and Elements 9, 10, 11

The three activities noted above will produce a system that matches teachers and their preparation programs to course sections to enrolled students to performance assessments. This linking will be made more powerful by including additional data elements in the LDS that are not currently collected or reported. To support this activity, the State will determine the most efficient manner to define, collect, extract, transform, and load new data elements. This will be accomplished through the use of State Education Department resources, consultant support, and a panel of instructional specialists, school administrators, and higher education teacher educators.

- **Daily attendance**

The State has long collected aggregate average daily attendance from school districts for state aid purposes. In addition, school districts are currently required to collect period-level attendance and to categorize student absences into a limited number of acceptable fields. Building on this foundation, the State will develop guidelines that school districts will follow to report student-level daily attendance. SMS vendors will be required to create data collection and extracts to load student-level daily attendance into the LDS.

- **Suspensions and violent and disruptive behavior incidents**

The State currently requires school districts to collect student-level data on violent and disruptive behavioral incidents and suspensions. All incidents are categorized in an existing State-defined system. Although the data are currently reported into an aggregate-level data system, SMS vendors will be required to create the appropriate data extracts so that student-level incidents and suspensions can be loaded into the LDS.

- College readiness data, including SAT, ACT, IB, AP and other related information: New York has made progress in the collection and analysis of additional indicators that are linked to postsecondary success. On behalf of the Board of Regents, The Parthenon Group has already worked with the College Board to collect and analyze the predictive relationship between SAT scores and other data elements contained in the LDS. New York is working out a statewide agreement with the College Board to collect student-level SAT, PSAT, and AP scores for loading into the LDS. An agreement is also pending with ACT for collecting these student-level scores.

The integration of K-12 and 13-16 transcript data will facilitate discussions of curriculum alignment between the two sectors. For example, linkage of the data will allow policymakers to track the performance of students through course sequences in mathematics and English Language arts in K-12 and into higher education. This capability has gained greater urgency as the movement toward a national core curriculum gains momentum.

New York's eScholar data model is already compatible with loading these additional data elements into the LDS. A panel of statewide advisors, including representative superintendents, assistant superintendents for curriculum and instruction, special education and pupil personnel directors, principals, and guidance counselors and representatives of higher education will continue to provide guidance on additional data elements that can help achieve this critical objective.

- Standardized transcript information
An electronic student transcript will be one of the crowning achievements of New York's expanded LDS. An electronic student transcript requires that all of the data elements described above be integrated into the LDS. The transcript will provide many benefits to schools and school districts in New York and other states as well as to higher education in New York State. New York will utilize the LDS transcript to standardize school district data archive activities. In addition, the electronic exchange of transcript information to LEA's upon student transfer will ensure that students receive all appropriate services in a timely manner.

Finally, the electronic exchange of transcript information with institutions of higher education upon student enrollment in postsecondary education will not only enable data-driven discussions of curriculum alignment, as noted above, but also ease the burden of records exchange. As described below in Activity 2.2, the New York City Department of Education and the CUNY system already engage in a two-way exchange of electronic transcript data, both for the processing of applications for admission and for policy research. The lessons learned from this partnership will help ensure that New York successfully expands this initiative throughout the rest of the State. A unique statewide student identifier can be used to link K-12 with 13-16 records via a common transcript, streamlining application processing throughout the State and facilitating longitudinal tracking for policy purposes

As described below in Activity 2.2, the New York City Department of Education and the CUNY system already share an online student transcript system. The lessons learned from this partnership will help ensure that New York successfully expands this initiative throughout the rest of the State.

- Interim, local, and statewide assessments

The State recognizes that the predictive power of a LDS rests upon a comprehensive approach to assessment. Such an approach involves the collection of student performance data on annual State assessments, the collection of local course grades, and the collection of data on standardized interim and other local assessments.

The predictive value of the LDS will be enhanced as the State standardizes the collection of interim assessment data. Many interim assessment tools exist in the commercial market, and many schools already administer commercial or other locally-designed quality assessments to their students. Future discussions of the Board of Regents will determine the ways in which such benchmark assessments will be integrated into the existing curricular requirements. Once these policy issues are decided, procedures and requirements will be established to load these assessments into the LDS.

In addition, a comprehensive LDS will facilitate the ongoing development of statewide examinations such as New York State's Regents examinations. Specifically, when test scores and transcript data are integrated, analyses of the predictive validity of the State's assessments become possible.

The addition of attendance, course and transcript information, violent and disruptive behavior data, and interim assessments will facilitate the development of another crowning achievement of the State's LDS - an "Early Warning System," discussed in greater detail in Objective 5 below. These elements will also play a role in the ability of the state to monitor and support continuous improvement over time.

Objective 1: Conclusion

The outcome of the four activities related to Objective 1 will be the creation of concrete products and processes to expand the current LDS to include the linking of assigned teachers to their students' performance data. These accomplishments will further the development of:

- a P16 instructional data reporting and support system;
- an analysis of teacher preparation programs; and
- a teacher evaluation system.

The fact that the State already maintains unique teacher ID, certification, and teacher preparation program data in its TEACH system puts the State in a competitive position to achieve these goals more quickly than will many other states with less comprehensive systems.

Beginning in 2005, the SUNY and CUNY systems as well as a large number of teacher education programs at independent colleges and universities formed a partnership to enhance

program evaluation for accreditation and tracking graduates into the classroom. The Carnegie Corporation of New York provided \$50,000 to fund this project with a matching grant of \$50,000 from the State. The project provided tables that showed comparisons for each institution to its sector and to the state averages on teaching placements, retention in teaching positions, and a large number of other variables. Plans are to expand this system so that all teacher education programs will have individual student records for analysis, and to foster large scale research on teacher education success. New York State teacher education programs are eager to enhance their capacity to use statewide data for program improvement and research on best practices in teacher education.

Finally, the completion of this objective will form an important foundation for an instructional data reporting system and a teacher evaluation system based in part on the performance of students. New York State United Teachers received a grant this year from the American Federation of Teachers Innovation Fund to develop a model teacher evaluation system that uses multiple measures including student achievement results. The grant is funded in part by the Bill & Melinda Gates Foundation, the Carnegie Corporation of New York, the Ford Foundation, and the Eli and Edythe Broad Foundation. In addition, instructional data reporting systems are currently being developed and expanded in New York City and in certain other areas of the State. These efforts will be closely monitored – and the lessons learned will be used – as we expand the initiative statewide.

Objective 2: Create and implement a 13 – 20 System with Interactive Links to the expanded P12 system.

The three component modules of an integrated P20 system will be described as the P12 module; the higher education module; and the Health/Human Services/Workforce module (including military service).

Objective 2 calls for the integration of a P20 data system in New York State. It provides for a series of actions, followed by a systems integration process. The modular steps being proposed here are:

- Complete the reengineering of the P12 system;
- Complete the internal integration of the SUNY system with a full SUNY LDS;
- Complete the internal integration of the CUNY system with a full CUNY LDS;
- Create a plan for the integration of health/human services/workforce data; and
- Integrate these databases into a comprehensive P20 system.

Activity 2.1: Expanding the Architecture of the P12 Module Addresses Capabilities 1, 2, 5, 6, 7 and Elements 4, 5

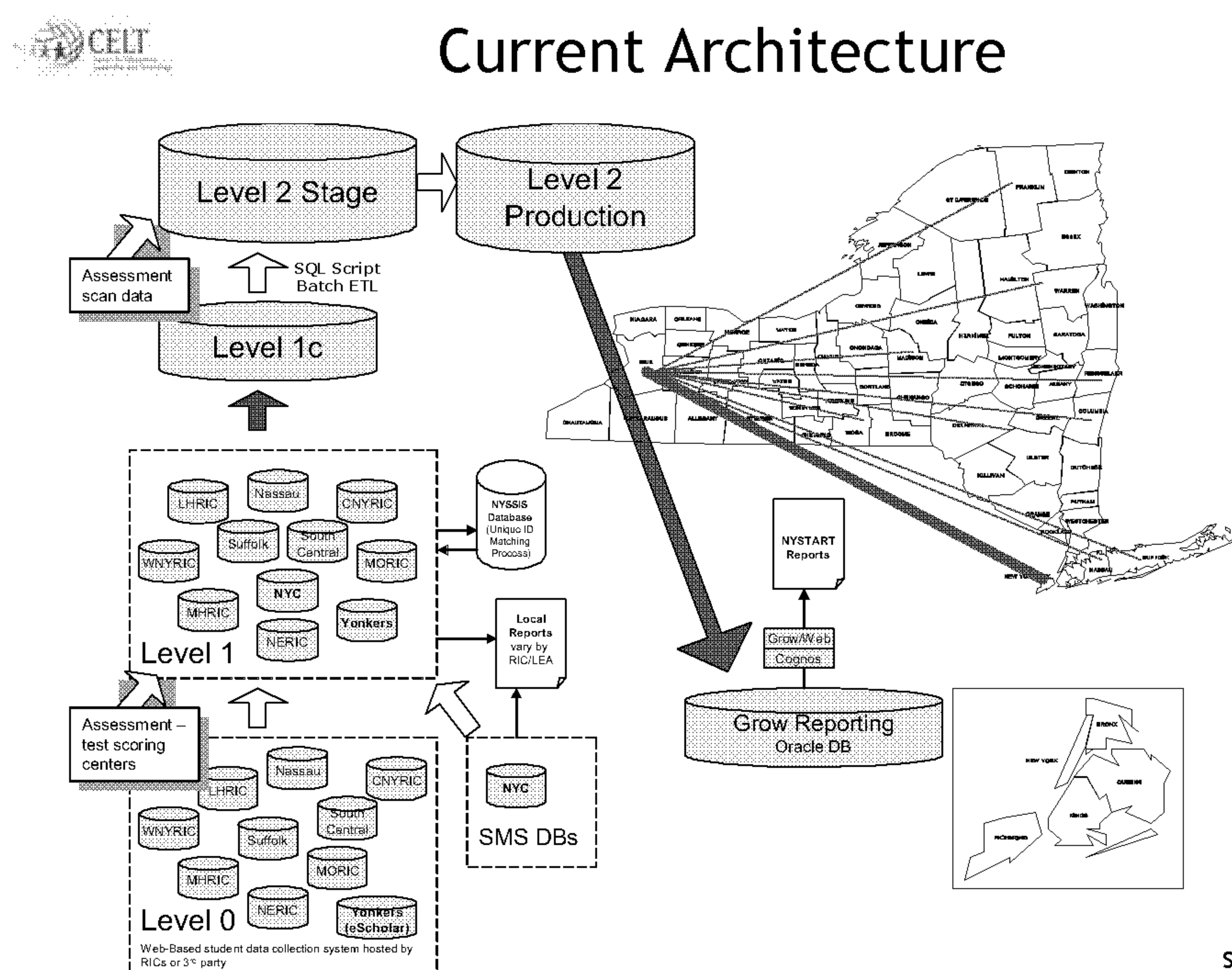
As noted above, the current P12 module is mature, having been designed and implemented seven years ago. Many of the objectives and activities being proposed in this grant application will expand the P12 module substantially.

In the previous IES grant round, the State received funds to **plan** a substantial architectural redesign of the P12 system. While this redesign will not affect any of the data elements included in the LDS, it will create a streamlined flow of data that will make the system more efficient and less prone to data errors. This is a necessary antecedent to including the P12 system as one of the modules in the overall P20 system.

This IES-funded planning process is well underway in accord with the grant's approved timeline. We engaged the Parthenon Group and the Center for Education Leadership and Technology (CELT), both leading IT consultants, to help redesign the system, and their work is complete. In this current grant application, we propose to **implement**, under the coordination of the Product Development Supervisor funded by the current IES grant, the architectural design that results from this process.

The planning is focused on changing the design of the data flow in the P12 system from the “current state” to the “future state” (depicted below).

Current State

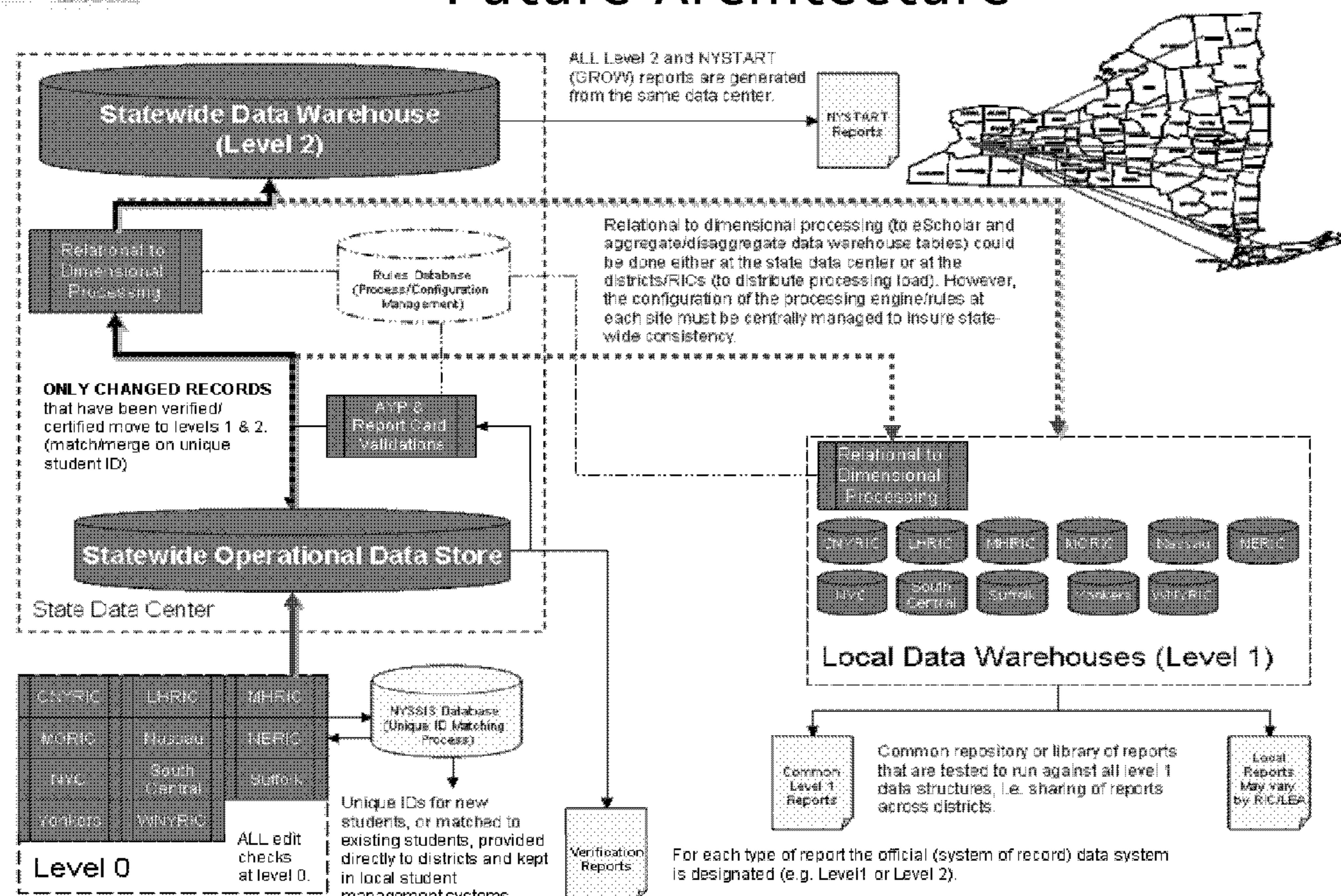


Slide 5

Future Architecture



Future Architecture



6

A variety of layered products and processes will be purchased or developed in order to create this new architecture. Included among those products will be:

An Operational Data Store (ODS)

Already in the design phase with support from existing IES funds, an Operational Data Store will be implemented to integrate the key data architecture and data processing recommendations made by The Parthenon Group and CELT. The ODS will allow districts to load their data directly into a staging area for continuous update and correction. The State will take snapshots from the ODS at various points in time to fulfill reporting requirements or to take a subset of the data for further analyses.

An Expanded Data Loading Tool with Increased Auditing Capabilities

New York has created and distributed a statewide front-end data loading tool. This application (called "Level 0") forces the standardization of data elements prior to loading in the LDS. In addition, it has a series of data edits to help ensure data quality and reasonableness.

The updated front-end data loading tool will be expanded to standardize the collection of the additional P20 data elements. The tool will integrate the functionality of a "rules engine" to provide increased checking for data quality and reasonableness. This integration of a rules engine is being carried out already on a pilot basis in various regions of the State. Our planning

team is actively considering products from competing commercial vendors. We will integrate the lessons learned from these pilots and presentations to enhance the success of the statewide deployment.

This rules engine will operate at the point of data entry and provide valuable feedback to users of the system. It will contain the entire set of business rules used by the State LDS, as well as programmed logic to perform year-to-year and other within- and cross-domain reasonability/audit queries to ensure data integrity at all levels of the system. For example, a user will not be permitted to designate a student as a high school graduate unless s/he has the required number of State assessments in the LDS. In addition, a user will be required to verify the data before entering a total number of high school graduates that differs from the prior year by more than 10 percent.

It is anticipated that on or around April 2010, upon the completion of the planning process for these changes, a Request for Proposals will be created to acquire the relevant products and services. New York intends to fund this RFP in part with monies secured in this round of the IES grant program.

Activity 2.2: Plan and Implement a Higher Education LDS module
Addresses Capabilities 1, 2, 5, 6 and Elements 1, 2, 3, 4, 5, 11, 12

New York State has two separate public university systems: the State University of New York (SUNY) and the City University of New York (CUNY). SUNY consists of 64 universities, state colleges, and community colleges with a total student enrollment of approximately 465,000 students. Approximately 90% of these students attended a New York State high school. SUNY's senior colleges maintain a 6-year graduation rate of 60%, and the system is largest public college system in the nation. CUNY serves the population of New York City with 21 campuses enrolling approximately 260,000 students. The senior colleges maintain 6 year graduation rates of approximately 51%. CUNY is the largest urban public university system in the nation.

These university systems are at different stages in the integration of their own internal data systems. CUNY has a longitudinal decision-support data warehouse integrating data for all campuses, as well as a high degree of automated interaction among its administrative systems. The University Application Processing Center creates transcripts via a direct electronic link to the New York City Public Schools, and the local instances of the CUNY student management system receive these and other data from the processing center. CUNY is currently implementing a system-wide Enterprise Resource system.

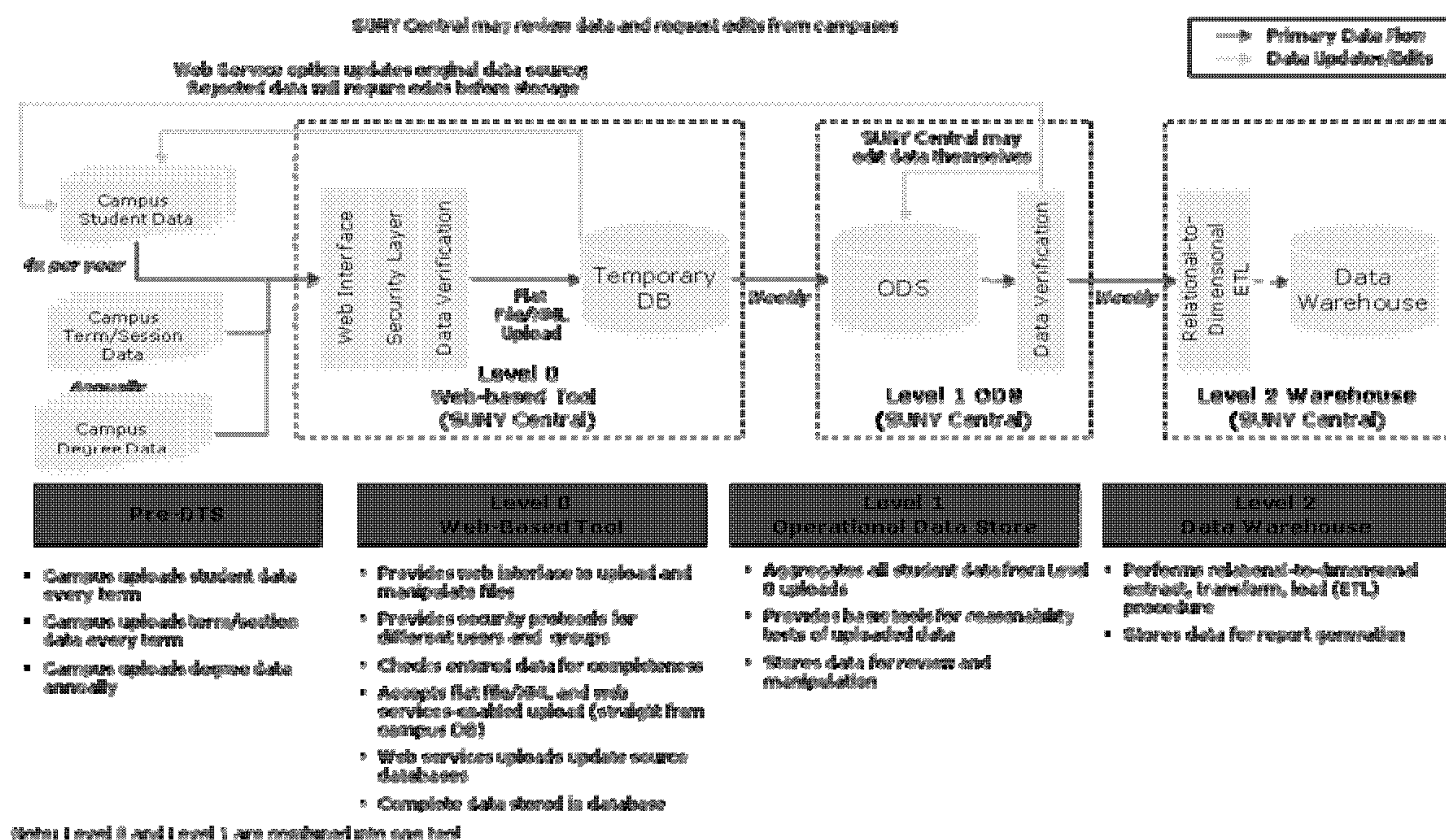
SUNY tends to be more administratively diverse due to local sponsorship of its 30 community colleges. Also, five of SUNY's colleges are operated independently under contract with Cornell and Alfred Universities. Most of the colleges and university centers in the SUNY network have or are adopting the System's technology standard—the BANNER student information system. However, the flow of information from the campuses to SUNY is currently based on periodic data submissions which do not contain all of the information required by a P-20 LDS.

SUNY is in the process of planning an integrated consolidation of its data system as defined in the diagram below. This consolidation will address the deficiencies in data needed for a P-20 system. CUNY continues to develop its existing longitudinal data warehouse. These designs will result in each system having its own comprehensive LDS.

These university systems are at different stages in the integration of their own internal data systems. CUNY has a single, integrated data system across all campuses, as well as a high degree of automated interaction. The application processing center and the local instances of the student management system are integrated. CUNY and the New York City Public Schools share an online transcript system.

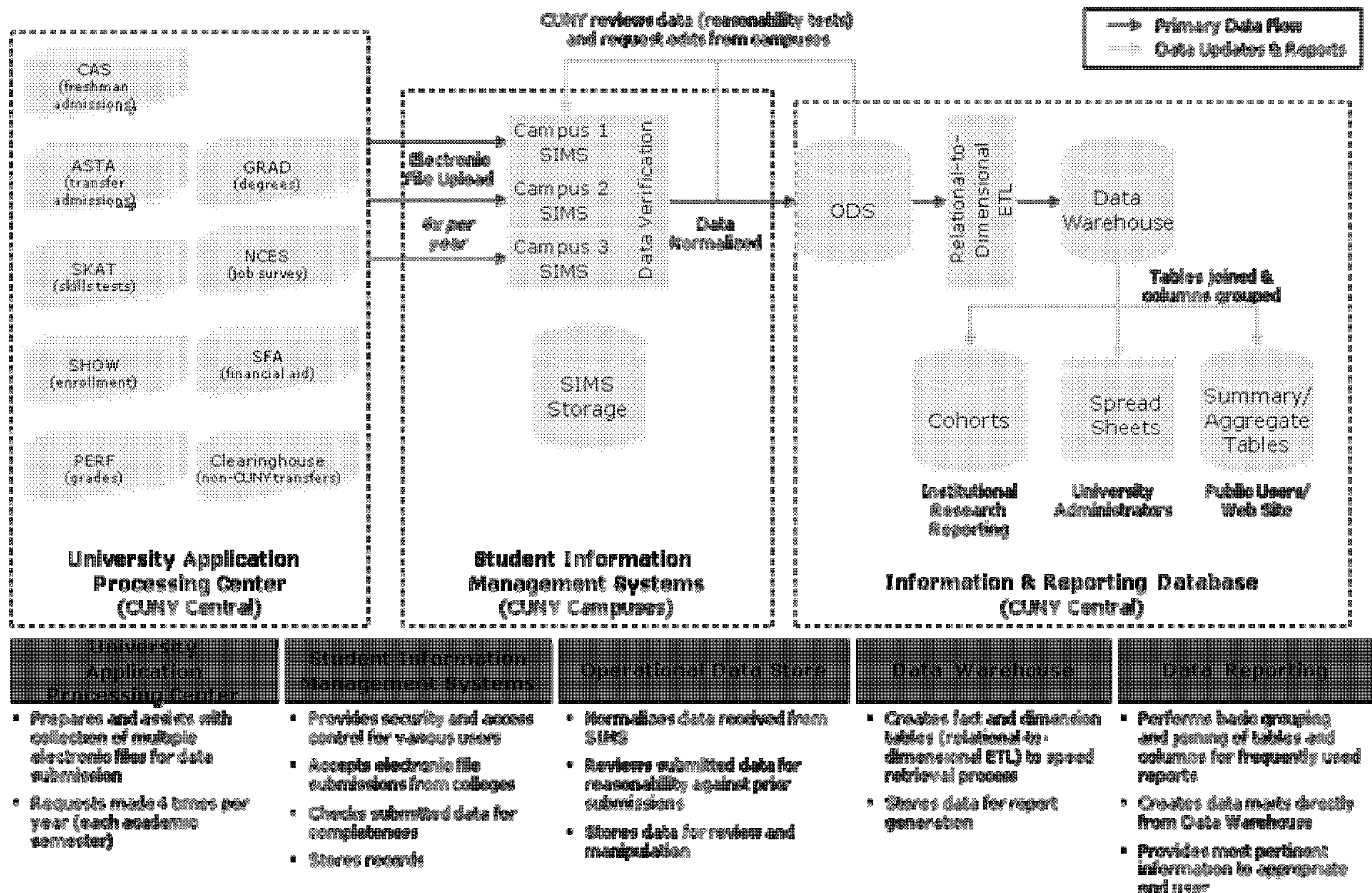
The future state of the SUNY system

SUNY IR Architecture



The future state of the CUNY system

CUNY IR Architecture

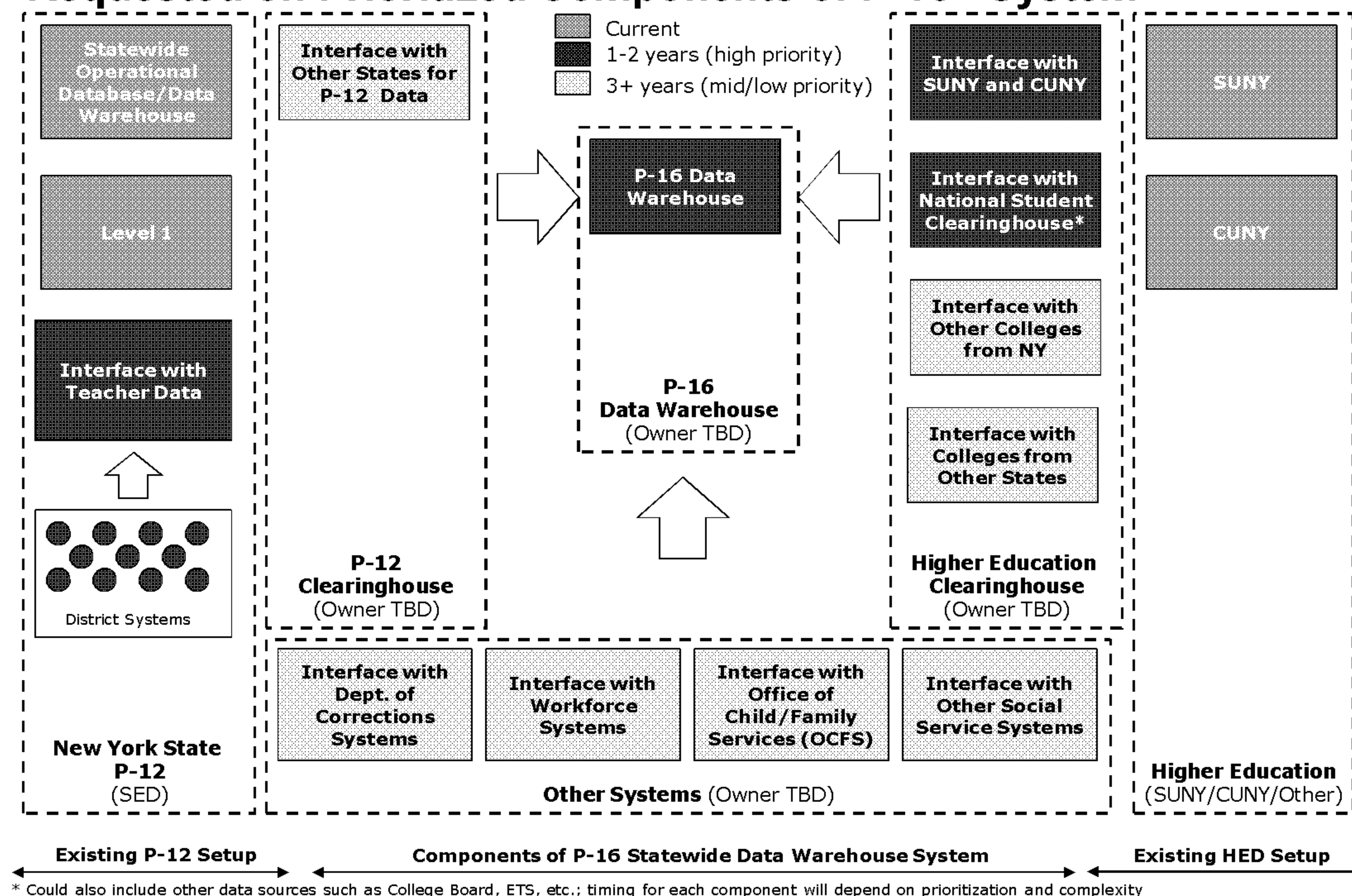


Over the past 6 months, the P20 partners have sought information through a Request for Information (RFI) process on how best to expand and integrate these higher education data systems into a functional P16 LDS. The State will fund the resulting RFP, in whole or in part, through this grant application.

The RFP anticipates that the final design of the system will conform to this high level design, resulting in an integrated higher education LDS data system for the CUNY and SUNY systems:

13-16+ Integration: Executive Committee Confirmation

Requested on Prioritized Components of P-16+ System



Activity 2.3: Plan and Implement P-12 and Higher Education Student Tracking Addresses Capabilities 1, 2, 6

The key to a P-20 LDS is the ability to track students from K-12 into higher education and within higher education and beyond as allowed by Federal and State law. The activity proposed here leverages the work previously completed in creating a state-level P-12 data system and the work proposed in Activity 1.4 to create a standardized K-12 electronic transcript. The value of the electronic transcript is that it not only communicates important information about the preparation of students for college, but it contains the identifying information that higher education needs for reporting to a state-level LDS. Passing this information from K-12 to higher education effectively resolves the most difficult challenge in integrating data records between the two sectors. This activity has another important impact. By passing this information electronically to higher education at time of entry, colleges can use this information to better serve students and provide them with the support and interventions needed to succeed in college.

A second important outcome of this activity will be the development of a process for CUNY and SUNY to electronically exchange information to track students that transfer between the two systems as allowed by Federal and State law. This will be accomplished by both systems capturing data elements in common that can be used to identify students uniquely and pass this information electronically. CUNY and SUNY will need this information to identify transfer students to the P-20 LDS.

The benefit of this activity is the integration of records and data between the various sectors will occur seamlessly without the P-20 LDS having to implement a comprehensive process to match

student records. This not only contributes to the completeness and accuracy of the data in the LDS, but it minimizes the burden on higher education in resolving near matches—student records where the data do not provide for a certain match.

**Activity 2.4: Plan and Implement Standardized Higher Education Course Information
Addresses Capabilities 1, 2, 5**

Diversity of the course offerings in higher education exceeds that in K-12. Adopting a common comprehensive course structure in a state-level LDS that encompasses all of the course offerings in higher education would be exceptionally difficult. However, it is possible to create a course structure that supports the integration of information in courses that function as gateways to critical academic programs, such as STEM and teacher education; also, establishing a common reporting structure for remedial and developmental courses. Such capability is essential for the P-20 LDS to address important access, college success, and workforce issues.

A team from CUNY and SUNY, coordinated by a proposed grant-funded SED Higher Education Data Liaison, will be charged with identifying the key gateway courses utilizing a disciplinary coding system, such as the Classification of Instructional Programs. Additionally, remedial and developmental courses will be commonly identified so that this information can be reported to the P-20 LDS uniformly. This information will allow for the development of more effective programs that ensure access and success of students and enable the creation of curricular feedback reports to K-12 schools concerning the preparation of students for college.

**Activity 2.5: Planning the Linkages to Health/Human Services/Workforce and other Data
Addresses Capabilities 1, 2, 5, 6**

The value of an educational LDS is enhanced when it can be linked to data and information maintained by other state agencies. The State Education Department already collects individual student data from educational institutions maintained by the State Office of Children and Family Services (OCFS).

We are also pursuing linkages with other outcome data, particularly those related to workforce, armed forces, and criminal justice information. SED has begun work with OCFS, the Department of Labor, the Department of Health, the Department of Mental Health, and the Office of Criminal Justice Services to identify opportunities for data links and/or exchanges. The SED CIO has exchanged meta-data descriptions of available education, workforce, health, and criminal justice records with CIO's from those agencies, as a foundation for discussing data exchanges and future linkages. From such links and exchanges, reports can be generated that can inform Regents and State policy which affect many educational and social programs.

A council has been established that consists of program and technology representatives from State agencies that maintain the data systems described above. This group is creating a plan to standardize and integrate the remaining module of a P20 system, including an analysis that resolves security, privacy, and data confidentiality issues.

Objective 3: Create and Implement an Instructional Support System.

In the prior round of IES funding, New York State was awarded a grant that, among other key objectives, included the creation of an Instructional Reporting Center. In accord with the timeline approved in that grant application, the Center is now in the planning stages with an operational start-up scheduled for the 2010-11 school year.

The Center was planned around high-level student data based on performance on State assessments only. Once students are linked to teachers in the P12 system through Objective 1 above, and once a similar link for the postsecondary community is created through Objective 2 above, it will then be possible to expand the currently-planned Instructional Report Center (IES-1) into a State Comprehensive Instructional Support System (IES-2).

Unlike the current Instructional Reporting Center funded by the existing IES grant, this Comprehensive Instructional Support System will provide information on the performance of students over time to P-16 educators, workforce leaders, policy-makers, and the public. The New York City Department of Education has already introduced a system that is in many ways a model. Called ARIS (the Achievement Reporting and Innovation System), it provides New York City educators with a secure online platform for exploring data they can use to improve student outcomes, sharing what they have learned by publishing documents and taking part in discussions and blogs, and finding other educators facing similar challenges. Other regions of the State have also utilized the existing LDS to design and deliver instructional reports to teachers and other instructional leaders.

The Board of Regents is committed to identify and integrate the strengths of all current initiatives into a State Comprehensive Instructional Support System to serve all New York schools, providing the timely information necessary for an unprecedented level of granular analysis. In an appropriately developed Knowledge Management or Decision Support system, this information will be used to improve instruction and increase student achievement. The system will be supported with ongoing professional development and access to instructional specialists. Additionally, social networking technologies will link educator to educator for support, advice, and sharing of resources. The system will have its greatest utility in school districts and school buildings that are persistently low performing. Proper analysis of student performance available through the Instructional Support System, combined with proven strategies and professional development for school staff, can turn around poor achievement.

Activity 3.1: Designing the Reports for a P16 Comprehensive Instructional Support System Addresses Capabilities 1, 5

In coordination with the Data Reporting Supervisor and Governance structure funded by the current IES grant, the State will utilize Department resources, consultant support, and a panel of instructional and school improvement specialists and P-20 specialists (to ensure compatibility

with higher education needs and reporting) to design reports that meet the criteria of a Comprehensive Instructional Support Center. This team will be briefed on the full content of the State LDS so they are thoroughly familiar with the available resources in the data system. Nationally renowned experts from our existing Technical Assessment Committee will be made available to the panel to ensure the psychometric appropriateness of all proposed reports.

These reports will inform education professionals on the longitudinal performance of students at a district, building, and classroom level. Reports will incorporate compelling visualization tools and basic statistical functions to help users analyze patterns of student performance by assessment domain, learning standard, skill profile, and developmental milestone. Results will be disaggregated by student subgroups. All reports will be designed to be deployed in the context of an adopted Knowledge Management or Decision Support System.

The Board of Regents also believes that informing parents of the status of their child's performance is an important component in improving instructional outcomes. The team described above will solicit feedback from representative groups of parents and make recommendations as to what types of parent reports are most effective in building strong home-school partnerships.

A similar team, coordinated by a proposed grant-funded SED Higher Education Data Liaison, will be charged with creating meaningful reports on key indicators of postsecondary performance and success. These reports will mirror the functionality and scope of those in the K-12 system, focusing attention on the students, faculty, curriculum, and gateway courses (identified in Activity 2.4) along with the social factors that foster the skills and meta-cognitive abilities necessary to succeed in higher education and into the workforce.

Additionally, reports from higher education will include: (1) feedback reports to P-12 schools concerning college performance of former students, (2) reports directed at development of the Regents' examinations, (3) reports informing colleges on student performance on the State's teacher education examination, and (4) development of reports that respond to Federal and State reporting requirements as appropriate. It is anticipated that the P-20 LDS report portfolio will be of great assistance to schools and colleges in academic program improvement and evaluation; also, in reducing the Federal and State reporting burden, particularly in areas, such as Teacher Education.

In addition to designing reports that will drive data downward, to teachers, faculty, and administrators in schools and colleges, both panels will design reports for decision support for education policy makers – the New York State Board of Regents, the New York State Education Department, the chancelleries of SUNY and CUNY, and district leaders across the state. The report planners will pay special attention to the designing a report layer that will facilitate longitudinal tracking of students throughout the P-20 pipeline and horizontally within educational sectors.

Although the State has an accomplished group of report writers within the Department and throughout its regional and higher education networks, there are also many high quality commercial products available that would, with some modification, likely serve the needs of the State. Various reporting systems are already in use in the regional BOCES, New York City, and

other large and small school districts. The team described above will review and recommend the most effective solution for this initiative.

Activity 3.2: Designing the LDS Knowledge Management/Decision Support System
Addresses Capability 2

In coordination with the structure and supervisor positions funded by the current IES grant, a team of specialists will be charged with creating a model for school district implementation of the reports designed in activity 3.1. This model will be based on accepted practices in Knowledge Management and Decision Support and will include creating clear documentation for all reports; professional development to help the users of reports integrate the information into effective action steps; the dissemination of best practices in modifying instructional practices; and an organizational design based on the analysis of information contained in the data system. New York's network of regional school improvement liaisons, general and special education practitioners within the school districts, curriculum partners in the BOCES, and their counterparts in the SUNY/CUNY systems will help carry out the statewide implementation.

Social media technologies will be utilized to build online networks that support communities of practice and growth. Media Portals will provide teachers, parents, and students a site can disseminate multimedia information, sustained patterns of question and response, and searchable archives of community knowledge. Teacher, parent, and student portals can foster the real-time dissemination of multimedia information, sustained patterns of question and response, and searchable archives of community knowledge. The Knowledge Management literature emphasizes that the sharing of experiences among educators as related to data-driven decision making increases the effectiveness of those decisions.

Activity 3.3 Designing the Reporting Layer for a P16 Instructional Report System
Addresses Capabilities 1, 5

The proposed Comprehensive Instructional Support System will expand the user base of the state reporting system from an estimated 3,000 users to well over 200,000 teachers and other educators in over 4,000 public schools (including charter schools).

In addition to the likely RFP process for the design and creation of these reports, four additional groups of technical specialists and Department staff will work in coordination with the Product Development Supervisor, Reporting Supervisor, and Data Governance groups created through the current IES grant. These groups are:

- The “front end” group, to select the tools to be used and design the user interface.
- The “security group”, to select the tools to be used and design a security structure that authenticates users and keeps all data secure in accord with FERPA regulations.
- The “systems” group, responsible for creating the hardware, software, and communications infrastructure necessary to deploy these reports.
- The “assurance testing group”, program and instructional practitioners to validate that the reports represent precisely what they intend to represent, and to test the performance of

the reports against the designed interface to assure that response time for users is at an acceptable level.

The functionality provided by any or all of these groups could possibly be subsumed by a third party responding to Comprehensive Instruction Support System RFP.

The outcome of the activities in Objective 3 will be the creation of the specifications for an RFP that will be utilized to acquire a comprehensive Instructional Support System. It is anticipated that the RFP will seek a series of integrated products that will leverage the data in the NYS LDS for the support of instructional improvement. While the creation of the specifications for such a system will be a product of the grant activities proposed here, the acquisition of the actual system will be accomplished using other local and federal funds.

Objective 4: Create an anonymous copy of the complete P20 data system to support research, Federal reporting requirements and policy analysis.

The P20 NYS LDS includes personally identifiable information on students and persons in the workforce. This personally identifiable information is not needed, nor is it appropriate, when reporting to the Federal Government, doing analysis for policy purposes, or when making data available for research purposes.

**Activity 4.1: Create an anonymous copy of the NYS P20 LDS.
Addresses Capabilities 2, 6, 7**

In coordination with the Product Development Supervisor and Data Governance groups funded by the current IES grant, a group of the State's data warehouse experts and consultants will work to create an instance of the LDS that is stripped of personally identifiable information, yet retains data field relationships that allow for reporting, research and policy analysis.

It will be the responsibility of this group to create an algorithm to transform a student ID and any other unique identifiers in the LDS in such a manner that student performance can be anonymously tracked over the years for research and policy analysis purposes. The group must be thoroughly informed on the content of EdFacts data collection and the obligation of EDEN and State reporting requirements, so that the transformed database retains all characteristics needed to comply with these and emerging regulations.

**Activity 4.2: Establishment of Policies and Controls on access to de-identified P20 LDS
Addresses Capabilities 2, 6, 7**

Through the governance structure defined in the P20 MOU, procedures and protocols will make access to this transformed database available to researchers. These protocols will spell out clearly who can have access to data and under what conditions.

In addition to providing access for specific defined research needs, a public access portal will be designed. This portal will provide access to pre-populated tables. This will allow broad-based public access to data to support a variety of analyses.



The outcomes of the activities in Objective 4 will provide the State with the ability to meet reporting requirements of the Department, especially reporting progress on the metrics established for the State Fiscal Stabilization Fund and the reporting requirements included in the EDFacts data collection and reporting system.

Objective 5: Create a process for tracking student progress and outcomes over time including students' preparation to meet the demands of postsecondary education, the 21st century work force, and the Armed Forces

The various data repositories created in the current proposal – P12, 13-16, and Health, Human Services and Workforce – each has its own purpose in serving its direct constituents. However, the very existence of these integrated databases allows for cross-repository and cross-domain analyses.

Included among the possibilities for the use of these data is the creation of an “Early Warning System” both in P12 and in 13-16. Such a system would analyze patterns of performance that lead to failure, dropping out, or becoming a non-completer. When notified of these “early warning” statuses, the school district or higher education institution can take steps to intervene.

Other cross domain analyses will focus on which high school programs lead to success in college, the workplace, or military service.

**Activity 5.1 Tracking Student P16 Progress Over Time
Addresses Capabilities 1, 5**

In coordination with the Reporting Services Supervisor and the Data Governance committees funded by the current IES grant, instructional and other experts will determine the data elements that are most useful to a student's progress over time. This group will have full access to all data elements in the LDS, including a student's performance on state assessments, interim and other local assessments, as well as formative assessment results, plus information on attendance patterns, mobility, disruptive behaviors, and program participation. The panel may choose to use any or all of these data in creating views that accurately portray the longitudinal progress of the student.

These views should be consistent with and supportive of the continuous improvement models created in the Comprehensive Instructional Support System described in Objective 3 above.

**Activity 5.2: Creating an “Early Warning System” for the P12 and 13-16 Systems
Addresses Capabilities 1, 2, 5**

Many states and researchers have identified the early indicators (some as early as elementary school) that predict the likelihood that a student will dropout prior to completing the P-12 system. Such indicators include frequency of lateness and/or absences, frequency of discipline, number of credits, below-average performance on 8th grade and other State and local assessments, overage status, etc. The Department will utilize its own and external research capacity to develop an “Early Warning System” algorithm that identifies at-risk students early enough so that interventions can help the student achieve a more successful outcome.

As a complement to the Early Warning System described above, SED will create a system that monitors students for their status as “on-track” toward high school completion and other postsecondary goals. Such a system would consider enrolled courses, grades, accumulated credits, as well as other “portfolio”-type assessments of student progress to assess progress.

Just as important, though perhaps harder to quantify, the SED will explore ways to assess other less tangible measures of student wellness, including social relatedness, metacognitive awareness and the enjoyment of learning, resilience, etc. These social psychological constructs are predictive, not only of psychological health, but also the successful transition to the workforce, career, and family life. These models, following examples in Chicago, Cleveland, and others, will be informed by information obtained from surveys of students and their parents.

Similar measures of Early Warning, On-Track Progress, and Wellness will be developed in collaboration with colleagues in higher education, with support by researchers, consultants and other interested stakeholders.

**Activity 5.3: Analysis of student preparation for workforce programs and military service
Addresses Capabilities 1, 5**

At this time in New York State, educational data are not linked with information on labor force outcomes. The linkage of student data with available data on employment would facilitate curriculum design in the K-12 sector and planning in higher education. By tracking employment and wage patterns of degree recipients, higher education administrators will be able to improve the articulation between program offerings and labor market demand. Correlations between high school program participation, performance on assessments, choice of college program, choice of military service, and other variables contained in the various state repositories should be used to establish patterns of predictive behaviors. As a first step, the LDS could incorporate a crosswalk between the CIP codes used to identify degree programs and Standard Occupational Classification (SOC) codes used to classify occupations.

In coordination with the Reporting Services Supervisor and the Data Governance groups supported by the current IES grant, a group of secondary, postsecondary, and workforce specialists will determine the types of analyses that could reasonably be created using the LDS data to support this goal.

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The activities of Objective 5 will create a system for continuous monitoring, not only of individual students, but also of patterns of behavior and performance that will support a continuous improvement model, an early warning system, and ongoing workforce/military preparation monitoring.

Objective 6: Create a comprehensive process to ensure the quality and integrity of data at all levels of the system.

New York enrolls over 3 million public school children statewide, has one of the largest single school districts in the world, one of the largest state university systems, and the largest urban public university system. The amount of data derived from these sources is voluminous. It is essential that a system be established to guarantee the quality, consistency, and integrity of all data at all levels.

**Activity 6.1: Implementing the P20 Data System Quality Control Team
Addresses Capabilities 6 and Element 5**

In coordination with the Data Quality, Reporting, and Product Development Supervisors funded by the current IES grant, New York State will create a Quality Control Team. This team will be a permanent fixture in the state's LDS planning, implementation, and operation.

The team will be responsible for the following:

- Create additional new front-end tools for users with full business rule editing so that all data editing is done at a level closest to the user. This feedback will serve a professional development function as well, helping to ensure that mistake decrease in frequency over time.
- Work with vendors of elementary, secondary, and postsecondary student management and human resource systems to ensure that they contain all data elements required by the state.
- Work with these same vendors to implement the LDS business rules in the source system where possible.
- Where possible a “business rule engine” should be embedded in any process that moves data from a source system to an operational data store.
- Create a system of data audits that provides notices to the appropriate parties on apparent logical or year-to-year discrepancies in the data.
- Create a system of both low level and high level exception or “reasonability” reports that can alert administrators to a potential “red flag” in their data.
- Engage in ongoing quality assurance testing for all modules at all levels; no change to any system will be deployed without a sign-off by the Quality Control Team
- Other quality control processes as deemed necessary or desirable by the team.

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The processes and products created through Objective 6 will ensure the quality and integrity of data contained in the system.

c) Timeline for Project Outcomes:

Objective	Milestone	Timeframe Responsibility
1. Student-Teacher Linkages	-Planning teams formed - Warehouse data model upgraded -SMS specs created	April-June 2010 Responsibility of Data Quality Manager and Planning Teams
	-Matching algorithm complete -Business rules complete -state course codes complete	July – Sept. 2010 Responsibility of Data Quality Manager and Level 0 Edit Team
	-Quality testing takes place -guidelines and training materials are developed	Oct. – Dec. 2010 Responsibility of Data Quality Manager
	-Implementation takes place -Business rules and edit checks are implemented	Jan. – March 2011 Responsibility of Office Of Information and Reporting Services, Level 1s, Tech-Standards group, and Project Managers group
2.Create P20	SUNY/CUNY Planning for data warehouses takes place	April 2010-March 2011 Responsibility of Individual SUNY and CUNY Executive Teams and Planning groups with support from Data Architects and Business Analyst.
	Joint task-force of CIOs from State Agencies established and joint planning takes place for 13-20 components.	April 2010-March 2011 Responsibility of CIO of NYSED
	Joint taskforce planning complete; recommendations for	March 2011

	linking agencies to P16 are published.	Responsibility of CIO of NYSED
3. Create Instructional Support System	Instructional Specialist Task Force and Support Specialist groups are created; planning takes place	April 2010-March 2011 Responsibility of Data Reporting Coordinator
	Planning is concluded; report specifications and support process are published.	March 2011 Responsibility of Data Reporting Coordinator
4. Research Database created	No activities in Year 1	
5. Tracking Student Progress over time	Instructional specialist panel created and “early warning teams are created; planning takes place.	April 2010-March 2011 Responsibility of Data Reporting Coordinator
	Specifications are complete.	March 2011 Responsibility of Data Reporting Coordinator
6. Creation of Data Quality Processes	Data Quality Team is created; processes established; team becomes operational.	April – May 2010 Responsibility of the Data Director, Office Of Information and Reporting Services
	Work of team continues throughout the duration of LDS activities.	Year 1 through Year 3

Year 1

See Appendix A for detailed work plan

Year 2

See Appendix A for detailed Work Plan

Objective	Milestone	Timeframe
1. Student Teacher Links	Basic teacher- student linking	April 2011- June 2011

	Implementation continues; all districts operational by June 2011.	Responsibility of Data Quality Coordinator
	LDS expansion team created; planning to add additional data elements to LDS takes place.	April 2011-March 2012 Responsibility of Data Quality Coordinator
	Specifications for additional data elements is published; forwarded to Data warehouse team for implementation.	March 2012 Responsibility of Data Quality Coordinator
2. Create P20	Planning for the P12 ODS model supported by the prior IES grant is concluded.	April 2011 Responsibility of the Planning Coordinator
	RFP to acquire ODS products is created and published.	Sept. 2011 Responsibility of the Planning Coordinator with support from Data Architect and Business Analyst
	Award made to successful respondent to P12 ODS	Feb. 2012 CIO of NYSED
	SUNY/CUNY data warehouse implementation activities take place.	April 2011-March 2012 Responsibility of Individual SUNY and CUNY Executive Teams and Planning groups with support from Data Architects and Business Analyst.
	Inter-agency group completes plans; plans are converted to technical specifications.	April 2011- June 2011 Responsibility of CIO of NYSED
	RFP to integrate P12 with 13-16 is created and published.	Dec. 2011 Responsibility of CIO of NYSED
	Award made to successful respondent.	March 2012 Responsibility of CIO of NYSED
3. Create Instructional Support System	RFP to acquire needed products and services is created and published.	Sept. 2011 Responsibility of CIO of NYSED with support from Data Architect and Business Analyst
	Award made to successful respondent.	Feb. 2012 Responsibility of CIO of

		NYSED
4. Creation of Research Database	No activities in year 2	
5. Tracking Student Progress Over Time.	Specifications for student progress tracking and early warning system are included in the RFP noted in objective 3 above.	Sept. 2011 Responsibility of CIO of NYSED with support from Data Architect and Business Analyst
6. Creation of Data Quality Processes	Completed in year 1; continues for duration of all grant activities	

Year 3

See Appendix A for detailed work plan

Objective	Milestone	Timeframe
1. Student Teacher Linkages	Basic student teacher linking completed in year 1	
	Modifications to the data model to incorporate new data elements is made; tested and implemented.	April 2012 – March 2013 Responsibility of Tech Standards group; Project Managers, and Level 1s
2. Create P20	P12 ODS is implemented	April 2012-March 2013 Responsibility of Office of Information and Reporting Services, Data Director, Tech/Standards Group, Project Managers' Group and Level 1s
	13-16 data warehouses are completed	April 2012-March 2013 Responsibility of Individual SUNY and CUNY Executive Teams and Planning groups with support from Data Architects and Business Analyst.
	Linkages to workforce data are established.	April 2012-March 2013 Responsibility of CIO of NYSED

3. Create Instructional Support System	Implementation activities take place.	April 2012-March 2013 Responsibility of Data Reporting Coordinator
	Instructional Support System fully implemented	March 2013 Responsibility of Data Reporting Coordinator
	Training and Support takes place.	April 2012-March 2013 Responsibility of Office of Information and Reporting Services and Level 1s
4. Create Research Data Base	Data Base design is created	April 2012– June 2012 Responsibility of the Office of Information and Reporting Services (IRS) with Support from Data Architect and Business Analyst
	Policy group is formed	April 2012– June 2012 Responsibility of CIO of NYSED
	Data Base is created and implemented	July 2012-March 2013 Office of IRS and Data Architect
5. Tracking Student Progress Over Time	Implementation Activities take place	April 2012-March 2013 Office of IRS, Tech/Standards Group, Project Managers, and Level 1s
	Student progress tracking and early warning system are fully implemented.	March 2013 Responsibility of Office of IRS, Tech/Standards Group, Project Managers, and Level 1s
	Specifications for data views of workforce and other 16-20 data are created	April 2012- Jun 2012 Responsibility of CIO of NYSED
	Reports are developed	Jul 2012- Dec. 2012 Responsibility of Data Reporting Coordinator
	Data views linking P16 to	Jan 2013 – March 2013

	workforce data are deployed.	Responsibility of CIO of NYSED
6. Creation of Data Quality Processes	Completed in year 1	

d) Project Management and Governance Plan

The State Education Department has strengthened its governance structure during the early phases of the current IES grant implementation, Project NextGen. This structure emphasizes the need for a strong oversight board, enhanced by input from broad stakeholder groups. The State's SLDS is managed through the following:

- An Executive Steering Council, comprised of senior Deputy Commissioners of the Department; the Data Director; Assistance Commissioner for Policy and Strategy; and the Chief Information Officer. This group has ultimate executive authority and oversight responsibility for all aspects of the P-12 data system. All recommendations of the participating governance groups are submitted to the Executive Steering Council for review.
- A set of regional Data Advisory Groups, organized around the BOCES, to provide advice to the State concerning use of the LDS. These regional Groups also provide membership to a Statewide Data Advisory Group.
- A P-16 Steering Committee, comprised of representatives from NYSED; the State University of New York; the City University of New York; and the City School Districts of New York City, Syracuse, and Yonkers.
- Two stakeholder groups of hands-on managers and technicians: the Data System Project Managers, and the Technical Advisory Committee. These groups are comprised of practitioners from the regional and local repository and reporting organizations across the State.
- As a later phase of the state's P20 development effort, representatives of the Commission on Independent Colleges and Universities will be included in the governance team.

In addition, a Memorandum of Understanding has been signed between NYSED, the New York City Board of Education, SUNY, CUNY, and the Syracuse and Yonkers city school districts. This MOU lays out a high-level framework for governing an expanded P-16 data system, as we embark upon enhancement of our current LDS.

e) Staffing: As a result of the prior IES grant awarded to the NYSED in 2008, a Project Management structure is currently in place. This structure will be leveraged to manage the objectives and activities being proposed in this current grant application.

In addition to the executive governance structure noted above, the former grant activities created staffing for a Project Management Office that will be extended to supervise the activities of this current grant proposal. Specifically, the prior grant created the positions of Project Manager (subsequently renamed Data Director), Data Quality Coordinator, Data Reporting Coordinator, and Planning Coordinator.

Objective 1.0 Expand current LDS to include student-teacher linking; expand with new data elements. Proposed staffing:

- All activities will be supervised by the existing Data Quality Coordinator.
- Data Architect – retained through consulting agreement to coordinate all aspects of the technical development described in objective 1. Estimated at 1 fte.
- Business Analysts – retained through consulting agreements; requires expertise in the content of the major sub-tasks of unique identifiers, course code taxonomy, and new data element creation. Estimated at 3fte.
- Business Analyst – added to the staff of the CIO Technical Assistance Center; requires expertise in creating documentation and training materials. After creating support materials, has ongoing role in providing support to LEAs. Estimated at 1 fte.
- Data Manager – added to the staff of the Office of Information and Reporting Services; participates in development process then has ongoing responsibility for support of the completed system. Estimated at 1fte.
- Clerical Support Staff: added to the staff of the Office of Information and Reporting Services; provides logistical support for all aspects of activities related to objective 1. Estimated at .5 fte.

Objective 2: Create and implement a 13 – 20 System with Interactive Links to the expanded P12 system. Proposed staffing:

- All activities will be supervised by the existing Planning Coordinator
- Data Architect: retained through consulting agreements; expertise in the key subtasks: creation of an ODS, redesign of the SUNY/CUNY systems. Estimated at 2fte.
- Business Analyst: retained through consulting agreement; requires expertise in technical specifications; will participate in all planning groups of P12, SUNY, and CUNY; will be charged with developing an RFP for implementation of a full P16 system based on development of the P12 ODS and the revised SUNY/CUNY architecture. Estimated at 1 fte.
- Business Analyst: retained through consulting agreements; requires expertise in data residing in the non-education databases, such as Social Services, Office of Children and Family services and other state maintained databases. Estimated at 1 fte.
- Data Managers: staff to be added to the IT offices of both SUNY and CUNY; participates in development activities, then continues in systems support. Estimated at 4 fte.
- Clerical Support Staff: added to the staff of the Office of Information and Reporting Services; provides logistical support for all aspects of activities related to objective3. Estimated at 1 fte.

Objective 3: Create and Implement an Instructional Support System. Proposed Staffing:

- Supervised by the Data Reporting Coordinator.

- Business Analyst: retained through consulting agreement; requires expertise in writing specifications for reports; works with planning group and will create RFP for acquiring a reporting system based on design of the planning group. Estimated at 1 fte..
- Clerical Support Staff: added to the staff of the Office of Information and Reporting Services; provides logistical support for all aspects of activities related to objective 3. Estimated at .5 fte

Objective 4: Create an anonymous copy of the complete P20 data system to support research, Federal reporting requirements and policy analysis. Proposed staffing:

- Supervised by the Planning Coordinator
- Systems Integrator: retained through consulting agreement; does all design work related to this objective. Estimated at 1 fte.
- Database Administrator: added to staff of Office of Information and Reporting Services; participates in development effort with Systems Integrator, then stays on staff for ongoing system maintenance and support. Estimated at 1 fte.
- Business Analyst: retained through consulting agreement; requires expertise in policy analysis; works with business partners and stake-holders to create policies and controls related to operation of the database. Estimated at 1 fte.

Objective 5: Create a process for tracking student progress and outcomes over time including students' preparation to meet the demands of postsecondary education, the 21st century work force, and the Armed Forces. Proposed staffing:

- Supervised by the Data Reporting Coordinator
- Business Analyst: retained through consulting agreement; expertise in analysis and specifications for report writing and data base design; works with partners and stakeholders to write specifications to be included in RFP noted in objective 3 above. Estimated at 1 fte.

Objective 6: Create a comprehensive process to ensure the quality and integrity of data at all levels of the system.

- Business Analyst/Data Manager: position added permanently to the Office of Information and Reporting Services with the title of "Quality Control Coordinator"; works with all other DBAs in the project to implement the system wide controls described in the grant narrative. Estimated at 1 fte.

All Objectives:

Given the broad based activities included in this proposal, an Administrative Grant Manager will be added to the staff of the Office of Information and Reporting Services. This person will coordinate the support structure for all the activities of this grant application.

Project Narrative

Project Narrative - Appendix A, Optional Attachments

Attachment 1:

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\AppendixA\AppendixA_submission.pdf**

APPENDIX A
OPTIONAL MATERIALS

- 1. List of ELL Data Elements to be included in expanded LDS**
- 2. MOU between NYSED and the P16 Partners**
- 3. Status of ODS Planning supported by funds from prior IES Grant**

Data elements to be collect for LEP/ELLs

Purpose: To make sure that the subgroups of LEP/ELLs information is collected by the NYSED Student ID system and be able to generate a comprehensive yearly report about the programs, services and proficiency/academic progress of students

Information Currently Being Collected:

- NYSESLAT information
- ELA information for LEP/ELLs
- Special Education LEP/ELLs – students classified as needing special education services
- Formal LEP/ELLs – students that exited the program based on NYSESLAT scores. We need to make sure that this code continues with the students throughout the students K-12 enrolment
- Long-term LEP/ELLs– Students that have been classified as LEP/ELLs for more than 6 years
- New Immigrant LEP/ELLs – Students that have been in the country for less than three years
- Content Area Exams for LEP/ELLs (Math Science, ELA, Social Studies)
- LEP/ELLs Graduation Rates
- LEP/ELLs Dropout Rates
- LEP/ELL Demographic Data

Information To Be Collected:

- LEP/ELLs Lab-R Data – Identification exam
- LEP/ELLs identified and served in a Bilingual Programs (PART 154 requirement)
- Test information in Native Languages (Native Language Arts for Bilingual Programs)
- LEP/ELLs identified and served in a ESL Programs (PART 154 requirement)
- LEP/ELLs in Mainstream Programs
- LEP/ELL Extension of Services Report – Students that require ESL services after three years and explanation of the services (PART 154 requirement)
- Native Language Proficiency levels of LEP/ELLs
- LEP/ELLs in Two-Way/Dual language Programs
- LEP/ELLs in Newcomers Programs
- LEP/ELL in Gifted and Talented Programs
- LEP/ELLs in GED Programs
- LEP/ELLs in After School Programs
- LEP/ELLs in Summer School Programs (K-12)
- LEP/ELLs Students with Interrupted Formal Education (SIFE)
- Overage High School LEP/ELLs
- Content Area Translated Exams given for LEP/ELLs – How many took the exams in the native language and results
- Foreign Language in Elementary Schools (FLES) Programs and Data
- Foreign Language Proficiency Level exams in Middle and High School

MEMORANDUM OF UNDERSTANDING

NEW YORK STATE P-16 DATA SYSTEM

This memorandum of understanding ("MOU") is entered into by the undersigned parties for the purpose of joining in a partnership to support establishment and administration of the New York State P-16 Data System (the "Data System") for pre-school through college education. This partnership is designed to ensure that the Data System is useful to each of the participants and properly aligned to their educational needs and technical capacity; and to provide for their full engagement in supporting the system. The partnership will be implemented by each of the parties through their public commitments and in accordance with the governance structure articulated in this MOU.

RECITALS

Whereas, the partners have embraced an ambitious P-16 education reform strategy to ensure comprehensive, unified efforts to improve student achievement at all education levels;

Whereas, the partners are committed to supporting the creation of a robust P-16 data system for New York State designed to benefit all of the partners by –

- Providing uniform state and district summary data on student achievement from year to year across the P-16 system;
- Supporting programmatic actions to raise student achievement through early analysis of problems and priorities for application of resources or new practices;
- Supporting policy changes and resource investments;
- Analyzing the value added by programs at every level of education;
- Building on and combining the elements of existing data and accountability systems;
- Ensuring timely, accurate, and secure data; and
- Providing data for use in the audit or evaluation of state-supported education programs consistent with the FERPA and other applicable privacy laws.

Whereas, the Data System will specifically–

- Enable the partners and other New York educational agencies and institutions to evaluate and assess the need for changes in programs and policies;
- Meet state and federal governance and compliance obligations in a timely and accurate manner;
- Support analysis of the effects of K-12 preparation on student access to and success in college, including identification of key indicators of college readiness; the success of students after graduation from New York postsecondary institutions; and the effects of teacher-related factors on student outcomes;
- Facilitate prompt access to student data to inform programmatic interventions;

- Facilitate electronic student record transfers in support of processes for student applications to schools and in the case of student transfers between different schools and programs; and
- Inform higher education admissions standards.

Definitions. For the purposes of this document, the governance terms used below are defined as follows:

- **Approve** is to have the official authority and responsibility to make the decision.
- **Recommend** means to aggregate input and ideas from other sources and present options or decision to the person or group with approval authority.
- **Input** means to provide information to those who can recommend or approve.
- **Oversee** means to monitor and review processes carried out by other persons or groups in compliance with approvals.

NOW THEREFORE, the undersigned parties agree on the following:

TERMS

Governance of the Data System. The data system's governance structure will be as follows:

1. The Board of Regents. The Board of Regents ('Regents') will oversee implementation and application of the Data System. The Regents has primary responsibility for education policy in the State, and in such role is responsible for receiving and reviewing information that informs such policy. The Regents will approve the composition of the Executive Board; approve policies on data linkages that inform the goals of Data System; and provide leadership to secure funds and other resources for the Data System.

The Regents will oversee the Executive Board's approval of the hiring of the Chief Data Director, the Executive Board's approval of data transfer and release protocols, and the responsibilities and membership of the Research Advisory Board and Data Advisory Board. The Regents also will oversee the management of the Data System by the Chief Data Director and the evaluation of the Chief Data Director, as well as (with the Executive Board) the establishment of data definitions and business rules and of the evaluation of data requests to the system. The Regents will determine and approve policies on key data linkages to inform policy (such as linkages between student and teacher data or linkages with non-educational agencies or institutions) and also will approve the Data System's organizational design, including the composition of its Executive Board; work with the Executive Board to secure funds for the Data System, including but not limited to funds included in the Governor's Budget and appropriated by the New York Legislature; determine which key data linkage policies (such as linkages between student and teacher data or linkages with non-educational agencies or institutions) are subject to its approval,

and approve those policies; and make recommendations to the Executive Board for the data system's research agenda.

2. The Executive Board. Subject to oversight of the Regents and to those particular matters for which approval authority is vested in the Regents, an Executive Board ('Board') for the Data System will determine policy for the Data System. Its functions will include establishing and appointing members to the Research Advisory Board, Data Advisory Board, and other governance or advisory committees that it may determine appropriate; establishing data transfer and release protocols and determining data linkages, consistent with applicable federal and state laws and regulations regarding the privacy of student records and the protection of human research subjects; determining the research agenda, consistent with the State's P-16 priorities, strategies, and recommendations by the Regents and Research Advisory Board; developing guidelines for the evaluation of data requests, and developing a review policy that permits partners to comment on any research involving them; approve the hiring the Chief Data Director; and (with the Regents) overseeing the establishment of data definitions and business rules and the evaluation of data requests to the system. The Executive Board will make recommendations and provide information to the Regents regarding organizational design and funding for the system and data linkage issues to be determined by the Board; make recommendations to the Commissioner of Education concerning evaluation of the Chief Data Director; and provide information and advice to the Regents and State Education Department on management of the data system.

The Executive Board initially will be composed of the Chancellor and Vice Chancellor of the Regents, the State Commissioner of Education [who shall chair the Board], the Chancellor of the State University of New York, the Chancellor of the City University of New York, the Chancellor of the New York City Department of Education; the Superintendent of the Syracuse City School District, and the Superintendent of the Yonkers Public Schools.

The Executive Board will adopt a voting process for its decision-making functions, with each member of the Board having an equal vote, and with no veto power lodged in any member or signatory to this MOU. The Board will be responsible for creation and adoption of by-laws to govern its functioning.

3. State Education Department. The State Education Department ('Department') will manage the operation of the Data System and own and operate the Data System infrastructure, including the software and hardware in which the data is housed. The Chief Data Director will implement policies set forth by the Regents and the Executive Board. The Chief Data Director for the system will be employed in the State Education Department, subject to the supervision by the Commissioner of Education, with responsibility for managing operation of the system; approving release of data in response to requests, consistent with applicable federal and state laws and regulations concerning the privacy of student records and the protection of human research subjects, as well as with the system's research agenda and the data transfer and release protocols; and establishing

data definitions for P-16 data and business rules and procedures regarding data submission. The Chief Data Director will make recommendations regarding structures for supporting data collection and reporting throughout the P-16 system, including oversight of vendors, contractors, or other organizations involved in data collection and management; data transfer and release protocols and data linkages. The Data Director will develop and provide information needed to set the research agenda and develop and support budgets and other funding requests needed to support the system.

4. **Research Advisory Board.** The Research Advisory Board will make recommendations to the Executive Board on the research agenda for the data system; evaluate research requests to the system and make recommendations on such requests to the Chief Data Director; and, as appropriate, conduct peer review of research results based on system data. The Research Advisory Board will provide input on data transfer and release protocols; data linkages, data definitions and business rules; management of the P-16 System; and the evaluation of the Chief Data Director.

The Research Advisory Board shall consist of a broad representation across the P-16 education community, including administrators and teachers at higher education and K-12 institutions; representatives from the research community, such as higher education professors and education research analysts; representatives from employers and community and business leaders; State and local legislators; and other individuals deemed appropriate for the furtherance of the goals of the Data System. Representatives shall be solicited by the Executive Board, with the assistance of the State Education Department and the Regents, and shall be approved by the Executive Board.

The Research Advisory Board shall meet as often as deemed necessary to carry out its functions as identified herein, but shall meet a minimum of twice annually. Members shall serve without compensation, except for costs associated with travel and expenses for the meetings.

5. **Data Advisory Board.** The Data Advisory Board will make recommendations to the Executive Board and Chief Data Director on data definitions, business rules, statewide data processes and collection calendars, and data transfer and release protocols; and will provide information and advice to the Executive Board and Chief Data Director related to the research agenda, data linkages, and the evaluation of data requests.

The Data Advisory Board shall consist of individuals familiar with the management, collection, and use of education and education performance and outcome data. The Data Advisory Board shall include individuals from across the P-16 education community, as listed for the Research Advisory Board membership; membership can also include individuals from technology-related organizations or institutions that collect and manage education-related data, including private vendors, subject to state procurement and ethics laws and regulations. Representatives shall be solicited by the Executive Board, with the

assistance of the State Education Department and the Regents, and shall be approved by the Executive Board.

The Research Advisory Board shall meet as often as deemed necessary to carry out its functions as identified herein, but shall meet a minimum of twice annually. Members shall serve without compensation.

Partner Commitments. In signing this MOU, each of the parties below commits to support the Data System and its governance structure as embodied in this MOU, including support through appropriate channels for budget requests to provide needed funding for the system; participation in the system's governance and advisory structure, including appropriate assignment of staff to working system teams, as needed; submission of appropriate and timely data to the system; and support of research, as appropriate, using system data. Each partner will retain full rights to use of their own data, and shall also have the right to review research derived from the Data System in advance of any release or publication.

The Partners will perform a comprehensive review of the operations of the Data System, use of the data contained in the Data System, and the terms and conditions of this MOU, after a period of three years following the signing of this agreement, and every three years thereafter.

All of the parties to this MOU agree to work together as appropriate in good faith to identify and pursue opportunities to strengthen the Data System and its governance structure, including possible expanded commitments to carry out the purposes of this MOU. This MOU is a statement of intent only, and is not legally binding on the parties or enforceable in a court of law. The parties will not be liable to each other for any damages or losses arising from or related to this MOU. Additional parties may be added to this MOU upon agreement of the undersigned.

IN WITNESS WHEREOF, the undersigned have agreed to this MOU as of November 25, 2008.

NEW YORK STATE BOARD OF REGENTS

Signature

Name: Robert M. Bennett

Title: Chancellor

NEW YORK STATE BOARD OF REGENTS

Signature

Name: Merryl H. Tisch

Title: Vice Chancellor

NEW YORK STATE EDUCATION DEPARTMENT

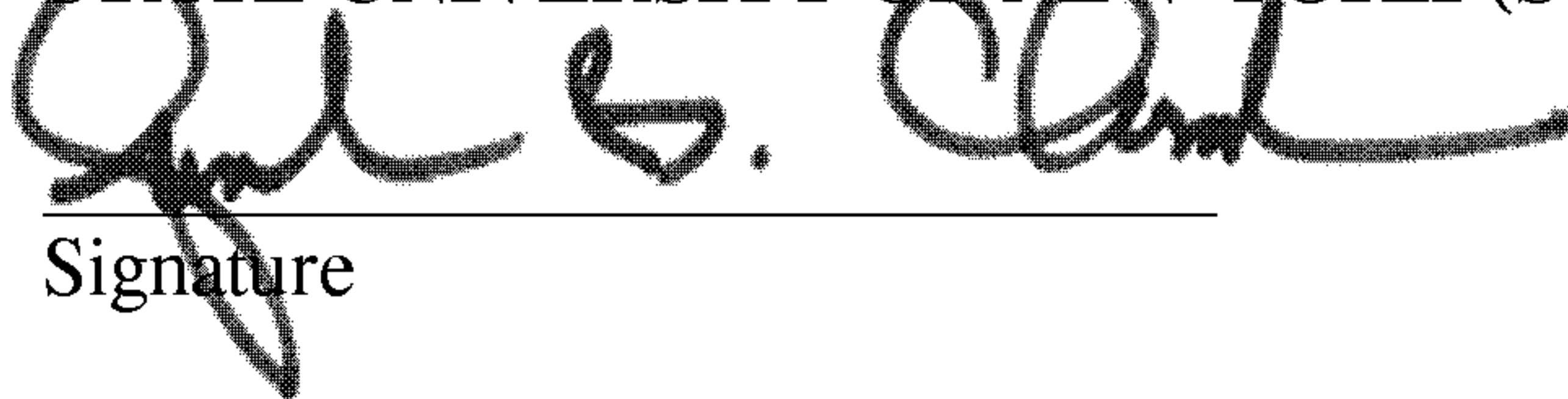


Signature

Name: Richard P. Mills

Title: Commissioner of Education

STATE UNIVERSITY OF NEW YORK (SUNY)

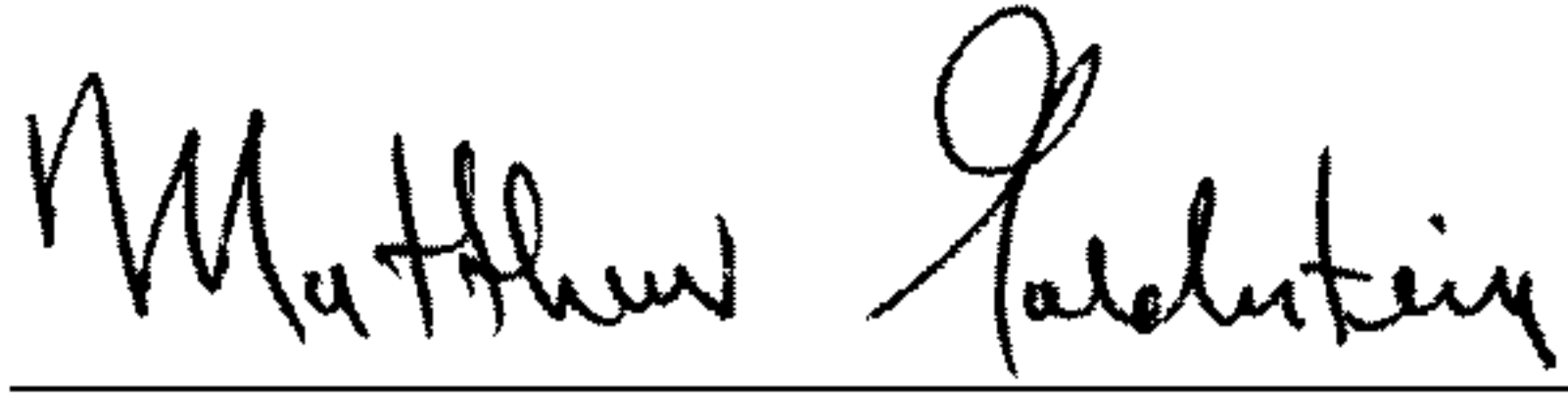


Signature

Name: John B. Clark

Title: Chancellor

CITY UNIVERSITY OF NEW YORK (CUNY)

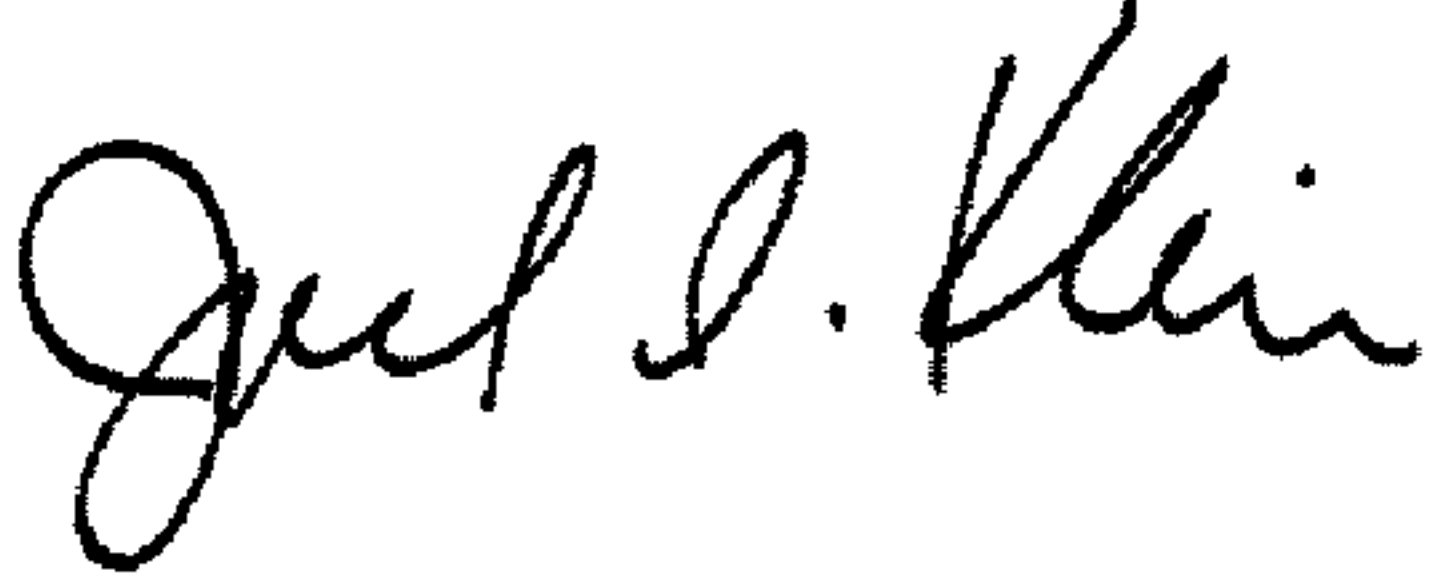


Signature

Name: Matthew Goldstein

Title: Chancellor

NYC DEPARTMENT OF EDUCATION

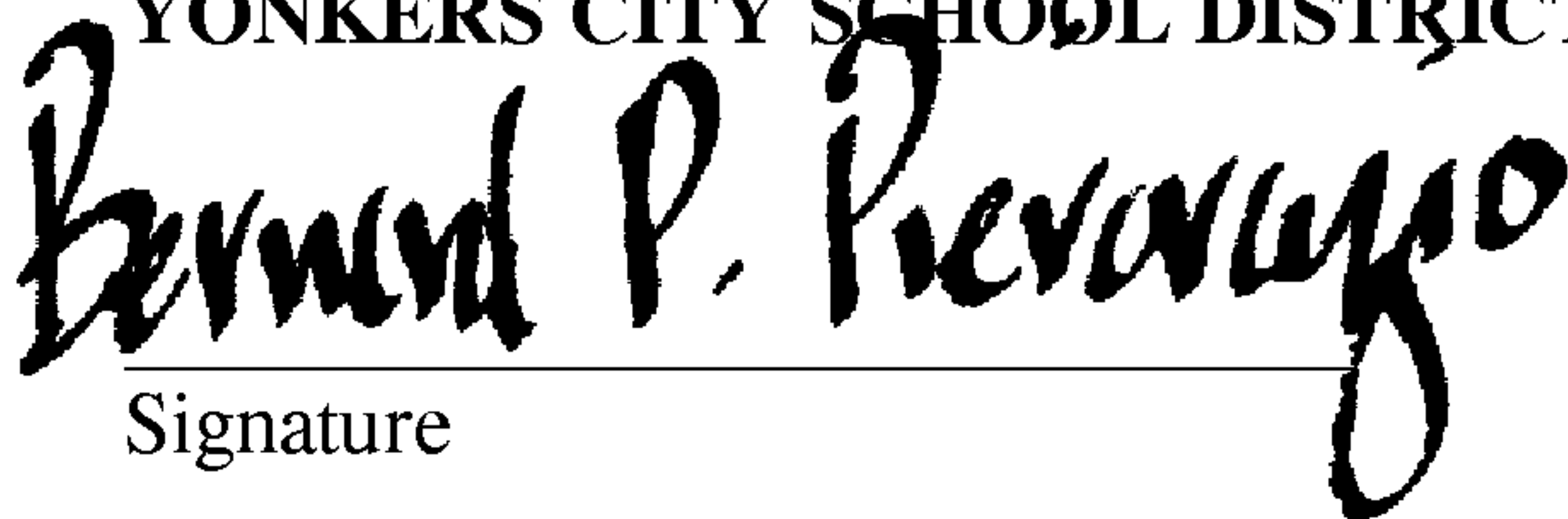


Signature

Name: Joel Klein

Title: Chancellor

YONKERS CITY SCHOOL DISTRICT

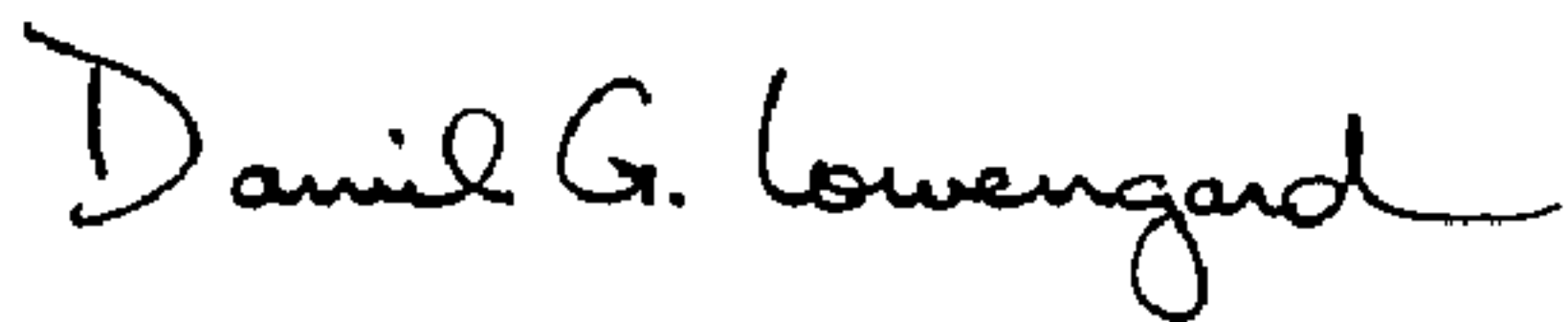


Signature

Name: Bernard P. Pierorazio

Title: Superintendent of Schools

SYRACUSE CITY SCHOOL DISTRICT

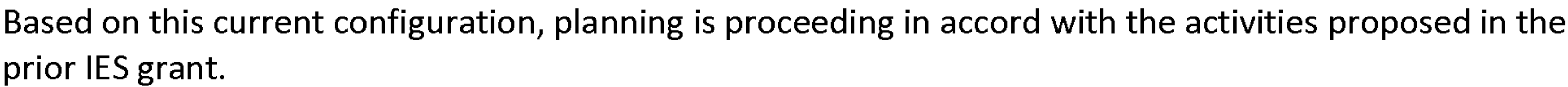


Signature

Name: Daniel G. Lowengard

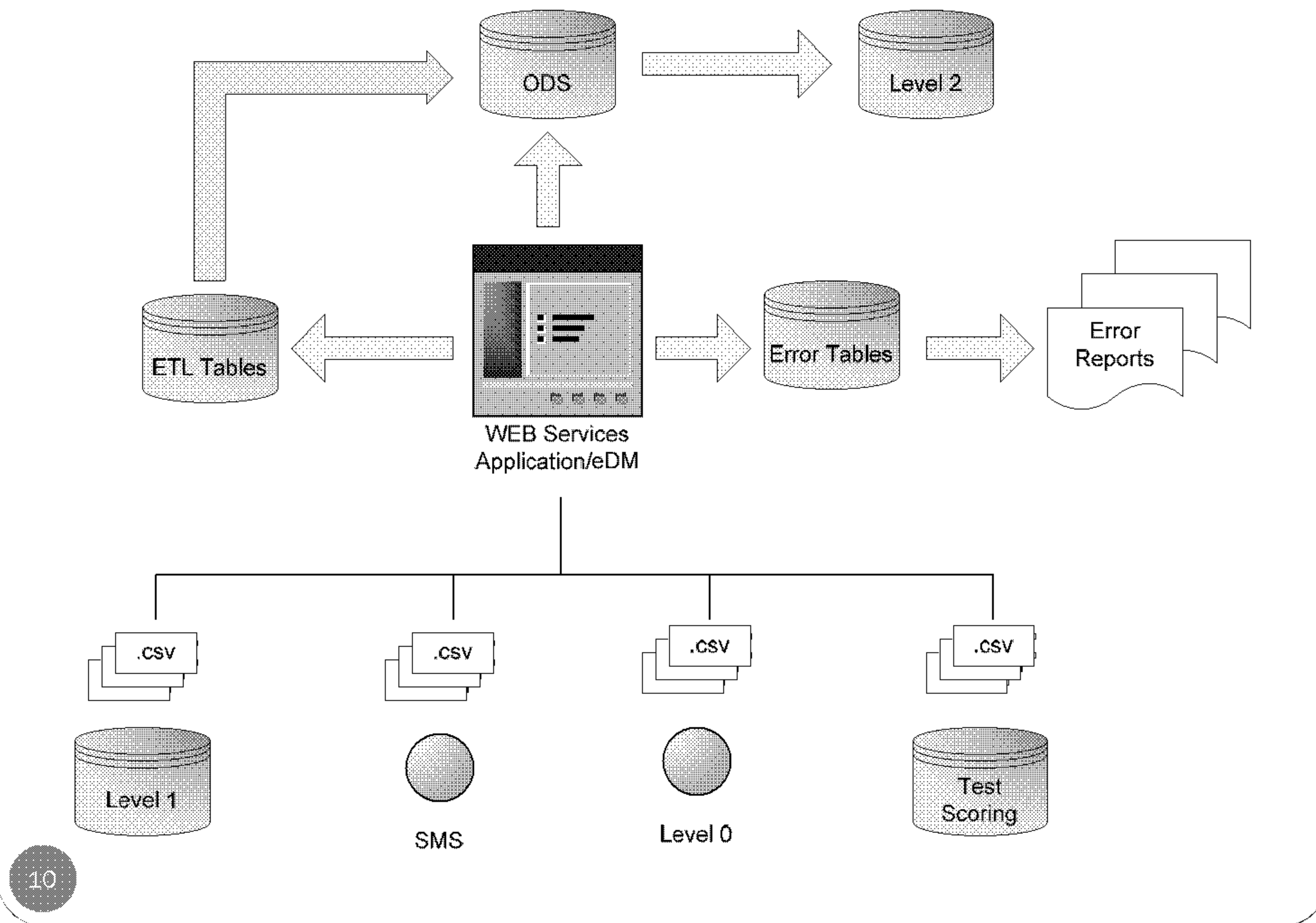
Title: Superintendent of Schools

SEE NARRATIVE OBJECTIVE 2

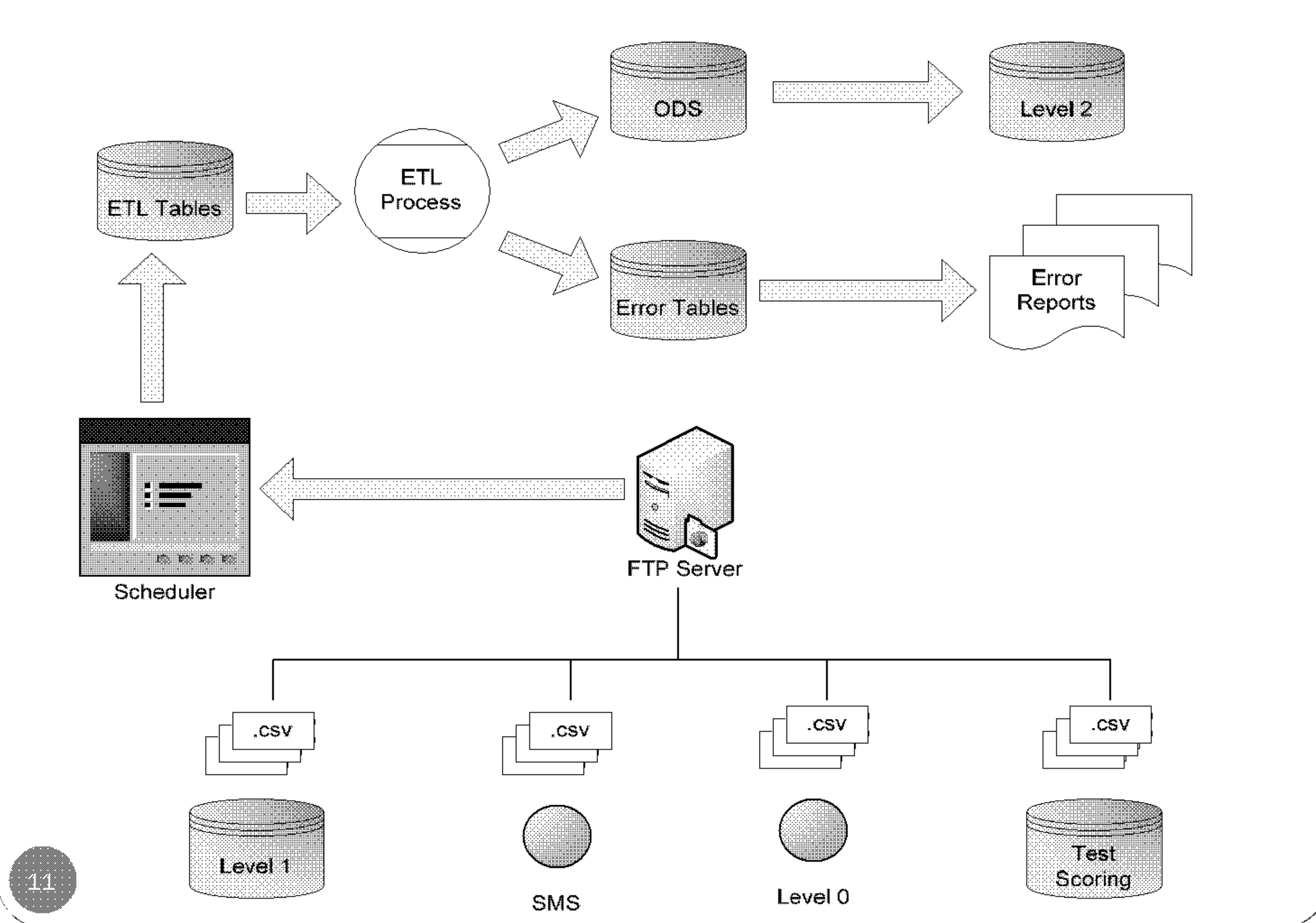


At this point in time, the planning team is looking at re-design options that are broadly represented in the following diagrams. In accord with the attached narrative, these designs will be refined and eventually form the foundation for the re-engineering of the current NYS LDS. The activities related to implementing this re-design, along with the projected budget are included in Objective 2 of the current narrative.

ODS Planning Alternative 1

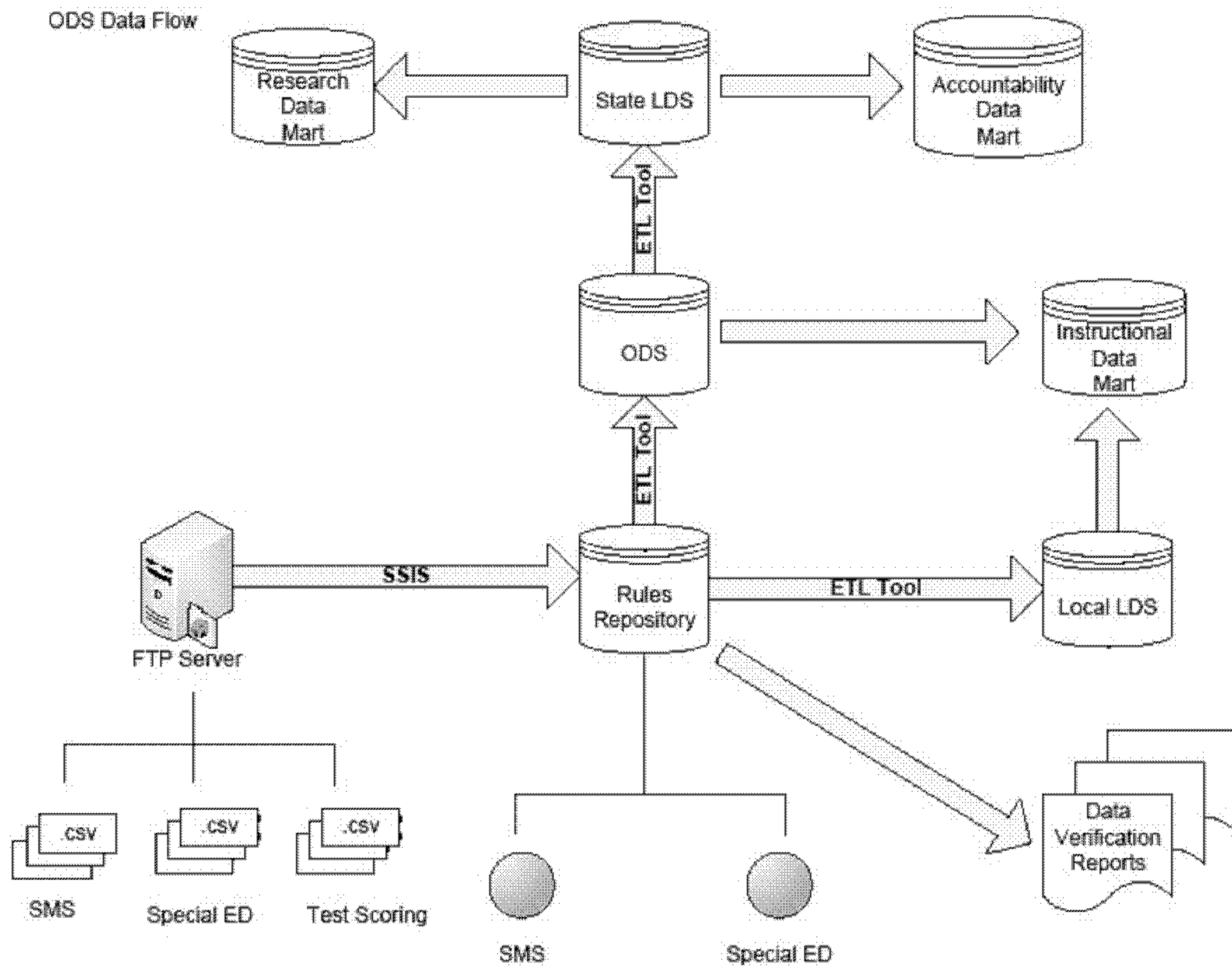


ODS Planning Alternative 2



Status of ODS Planning

Option 3 – most likely end-state design



Project Narrative

Project Narrative - Appendix B Resumes of Key Personnel

Attachment 1:
Title: Pages: **0** Uploaded File: **C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309**
\AppendixB\AppendixB_submission.pdf

APPENDIX B

RESUMES OF KEY PROJECT MANAGEMENT STAFF

DAVID WALSH

(b)(6)

EMPLOYMENT HISTORY

Chief Information Officer

New York State Education Department

August 2000-Present

Project Director

New York State Senate Office Automation Project

June 1989-August 2000

Manager of Analysis and Operations

New York State Senate Office Automation Project

August 1984 - June 1989

Research Analyst

New York State Senate Research Service (SRS)

1980-1984

Deputy County Clerk

Chenango County, Norwich, NY

1976-1979

HIGHLIGHTS and ACCOMPLISHMENTS, EDUCATION DEPARTMENT

- Responsible for the application of information technology and automation tools to the program needs of the Department, covering 3200 employees located throughout the State.
- Promulgated Department **Strategic Objectives for Technology**, tied to Regents goals; and created a set of Information Technology Principles to govern the use of technology within the Department.
- Instituted a technology governance structure to set policy and implement technology investment. Created a prioritized set of technology initiatives, approved by the Commissioner, October 2005.
- Created Departmental Project Management Office to implement project management methodologies across all projects that have a major technology component. Directed development of internal online project portfolio tracking system.
- Instituted a Department Security Policy, and formalized the position of Information Security Officer (ISO).

- Department liaison, Regents Technology Policy and Practices Council, a 28-member Council comprised of technology experts from across the State, responsible for advising the Regents on technology issues within the University of the State of New York (USNY). Council presented recommendations to the Board in September 2007.

HIGHLIGHTS and ACCOMPLISHMENTS, STATE SENATE

DATA ADMINISTRATION AND SUPPORT

- Responsible for **computer and networking services** connecting over 1500 users in Albany and 80 remote locations statewide. Directed project to rewire and network entire Senate complex for data, voice, and video.
- Created a **problem resolution process for computer support** that includes a HelpLine as point of first support, with more technical support as a follow-up.
- Member of team that **migrated Senate's payroll/personnel system** from Ingress/DEC to Oracle/RS6000 platform, and combined two separate computer operations.
- Member of team that wrote legislation creating **State Office for Technology**, 1997.

LEGISLATIVE PROCESS AND ADMINISTRATION

- Part of team that **analyzed the legislative process** and automated the preparation of bills and memos. Led team that migrated legislative information to a web-based system for both internal and public use.
- Analyzed **in-house correspondence process** for Majority Leader; moved correspondence to another unit, and sold duplicative unit to the Governor's office.
- Led a team that **analyzed production and automation needs** at Senate Research to replace mid-range computer system. Helped create image storage/retrieval process for newsclip operation at Senate Research.
- Led Senate team that created Senate home page on the Internet.

MAIL AND PRODUCTION

- **Developed targeted mail system** used by State Senate. Created method of annotating constituent name/address files; designed and implemented on-line mail production system. Brought Senate mail processing from outside contractor to in-house process, saving considerable dollars and providing more efficient processing and faster turn-around for Senate mail.
- **Wrote mail policy** for the Senate. Developed internal mail control procedures, including internal audit reports for mail accounting and tracking.

EDUCATION

B.A., History/Political Science, Lycoming College, Williamsport, PA

PROFESSIONAL AND COMMUNITY INVOLVEMENT

Member, State CIO Council, 2002-present. Co-chair, CIO Council Fiscal and Procurement Committee, 2003-present.

Director, Glenville Rotary Club, 2003-2004. International Youth Exchange Chair, 2003-present.

President, Executive Board, New York State Forum for Information Resource Management (NYSFIRM), 1998-1999; Vice-president, 1997-1998; member since 1988. Involved in teams analyzing citizen access to government information; state oversight of information technology; and state technology standards.

President, Lycoming College Alumni Association Executive Board, 2004-2005. Member, 1999-present.

Member, Editorial Board, The Church Herald, national publication of Reformed Church in America, 2008 – 2011.

Member, Glenville Environmental Conservation Commission, 1997-2004, Vice-chair, 2001-2004; Glenville Sales Tax Commission, 1997-1998.

Co-Chair, Camp Fowler Capital Campaign Committee, Regional Synod of Albany for the Reformed Church in America, 2004-present. A \$2.4 million campaign to implement a new facility master plan for the Camp in Speculator, New York.

Member of Consistory, First Reformed Church of Scotia, 1992-1997, 2000-2002. Elder Vice-President, 1995-1997. Youth Group advisor, 1993-1994. Led capital fund campaign that raised \$350,000 in 1996-1999. Chair, Interior Site Committee, redesigning church space for future needs, including a capital fund drive, 2003-2005. Choir member, 1988-present; brass ensemble, 1995-present.

Village Trustee, Village of Schoharie, 1983-1985. Vice-President, Schoharie County Village Officers Association, 1984-1985.

Member, Society of American Baseball Research; President of local chapter, 1993-1995.

Member, Scotia-Glenville School Superintendent Search Committee, March 1996.

9-2008

Ken Wagner
Information & Reporting Services
Room 863 EBA, 89 Washington Avenue
Albany, NY 12234

Professional Goal: Promote leadership and growth for the State Education Department's data collection and reporting initiative

Qualifications: Strong interpersonal and organizational skills; Successful leadership experience in data collection and reporting services, educational policy, instructional improvement, pupil services, personnel, and technology

Certifications: School District Administrator; School Business Administrator; School Administrator and Supervisor; School Psychologist

Education: **Long Island University at C.W. Post**
30 credits in School District Administration

Hofstra University
Ph.D. in School/Clinical Psychology awarded 12/96

M.A. in School/Clinical Psychology awarded 8/91

B.A. in Psychology awarded 5/90

Employment/Relevant Experience:

3/08-present

Data Director

New York State Education Department

- Coordinate the development of Department policy related to P-20 data collection and reporting for consideration by senior managers and the Board of Regents
- Provide overall strategic and management oversight for the collection, evaluation, and implementation of all P-20 educational data, including the data management work of various offices that have programmatic responsibility for education data reporting

8/07-2/08

Program Administrator for Student Data Services

Suffolk Regional Information Center / Eastern Suffolk BOCES

- Supervise data warehouse and test scanning services for regional customers (approximately 300,000 students), including oversight of customer support, database and reporting requirements, as well as policies and planning related to data collection/reporting procedures

7/06-7/07

Director of Administrative Services

Shoreham-Wading River Central School District

- Supervised the collection and reporting services for approximately 2,700 students and 300 staff members, utilizing computerized management systems for student services, special education services, and budget development/monitoring
- Supervised operations for personnel, technology, and the development of district policies/procedures

1/04-6/06

Principal

Prodell Middle School

Shoreham-Wading River Central School District

- Supervised the collection, dissemination, and interpretation of student demographic, program service, and performance data to improve classroom instruction and student learning for approximately 650 students and 55 teachers

8/01-12/03

Assistant Principal

Herricks Middle School

Herricks Union Free School District

- Managed the collection, dissemination, and interpretation of student demographic, program service, and performance data to improve classroom instruction and student learning for approximately 1,000 students and 90 teachers

4/01-7/01

Interim Assistant Principal

Harbor Hill Elementary School

Roslyn Union Free School District

2/97-3/01

School Psychologist

Atkinson Intermediate School

Freeport Union Free School District

- Managed the collection, dissemination, and interpretation of student demographic, program service, clinical, and performance data to improve special education services, classroom instruction and student learning for approximately 1,000 students and 80 teachers

1/96-1/97

Applied Behavior Specialist

Developmental Disabilities Institute

- Managed the collection, dissemination, and interpretation of client program service, clinical, and performance data to improve program delivery, skill development, and quality of life for approximately 100 developmentally disabled adults and 40 staff members

1990-1996

Doctoral Candidate in Clinical/School Psychology

Hofstra University

- Managed the design, implementation, and dissemination of a university-based research protocol related to children's social and perceptual skills, including statistical analyses and the writing of peer-reviewed technical reports

1992-1995

Grant Writer and Principal Investigator

Research Award, National Institute of Mental Health

- Supervised the design, implementation, and dissemination of a federally funded research protocol related to the sequential analysis of conversational patterns between adolescent friends, including statistical analyses and the writing of peer-reviewed technical reports

1986-1989

Board of Education Trustee

Seaford Union Free School District, Seaford, New York

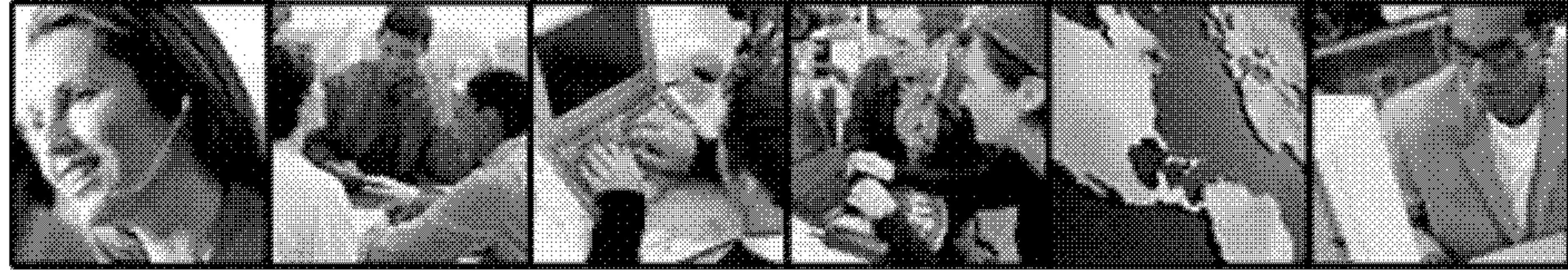
- Analyzed district financial and student performance data to facilitate the adoption of district policies and proposed budgets for a school district with approximately 2,500 students

Other Experience:

2004-2006

Vice-President

Shoreham-Wading River Administrators' Association



RESUME

Thomas Houston
Senior Consultant

CAREER PROFILE

Tom is a Senior Consultant with more than 20 years in the Information Technology industry. He has focused on Project Management, Enterprise Architecture Implementation & Oversight, Object Oriented Analysis & Design, as well as Purchasing and Vendor Management.

- 15 years managing medium to large scale projects with distinct deliverables and sub-projects
- 20 years of experience coordinating/delegating assignments to project staff of 10 or more
- 7 years as the primary point of contact for all project management responsibilities to include items such as project status, scope validation, and administrative maintenance
- 6 years working with and coordinating the deliverables of multiple vendors
- 7 years experience with application development methodologies and tools for IT projects
- Project Management Professional (PMP) Certified

FUNCTIONAL EXPERTISE

Expertise:	Public Sector – US Department of Defense
Areas of Expertise:	Project Management, Enterprise Architecture Implementation/Oversight, Object Oriented Analysis & Design, Purchasing/Vendor Management

SKILLS

Application Management Methodologies:	Capability Maturity Model Level 3, Military Standard 498, ISO, and related IEEE12207 Software Development and Quality Assurance Standards
Tools:	MS Office (Word, Excel, Project, Visio, PowerPoint, and Access), TogetherSoft, UML, Use Case Modeling, Clear Case, Clear Quest, Requisite Pro, Rational Robot, RoboHelp, CVS
Software:	Java, XML, SQL, PowerBuilder
Databases:	Oracle 8i, 9i, 10g, ErWIN
Operating Systems:	UNIX, Windows NT, BEA

EDUCATION

2003	MBA (3.80 GPA)	Strayer University
1999	MS, Information Systems (GPA 3.93)	Hawaii Pacific University
1996	BS, Occupational Education (GPA 3.67)	Wayland Baptist University

PROFESSIONAL TRAINING

2007	ITIL Foundation Series	SkillSoft
2002	Performance Based Contracting	Department of the Treasury
2002	Popkin System Architect and C4ISR Training Seminar	Popkin



Thomas Houston
Senior Consultant

2002	Project Manager School	CACI
2001	PMP (#34967)	Project Management Institute
1979 & 1985	Chinese Mandarin	Defense Language Institute

WORK EXPERIENCE

CGI

Project: nySTART

Role: Program Manager

Duration: December 2009 – present

Description: The nySTART program is responsible for collecting the math, ELA, Science, Social Studies testing data, demographics and enrollment data, special education and other data from 3.2 million students in New York State. The data must be analyzed and reported to several offices in the Federal government as well as the state government to ensure compliance with the No Child Left Behind act, special education legislation and state regulation. As a nySTART Program Manager, Tom's duties consisted of managing the contractors the State Education Department had assembled to perform three years earlier. The project had not had a project manager before Tom was brought in. The project was underperforming, exceeding budgets and failing to meet requirements. The New York Education Department brought Tom in to get things back on track on the nearly \$30M combined effort. By the summer of 2009, the vendors were performing, working together and fiscal and performance goals were being met.

Project: Home Construction

Duration: January 2007 to Present

Description: Relocated from the Washington DC area to Southwestern Vermont in early 2007. Have overseen the construction of our new home and settling into the area.

L-3 COMMUNICATIONS TITAN

Project: Enterprise Architect Contract

Role: Program Manager

Duration: January 2004 to December 2006

Tools Used:

- System Architect – UML, Case Modeling, DoDAF Architecture Tab; also used BEA, and FEA tabs for UNL and Case compliance with those architecture formats
- Oracle – 9i and 10g – backend for System Architect
- DOORS (Defense Object Oriented Requirement System) – Requirements Management, conducted jointly with customer
- Microsoft Office – Word, Excel, PowerPoint, Access, Project (IMS Management)
- MetaMatrix – Decision Support – Allowed weighting and views of the Enterprise data created by System Architect, and stored in Oracle database; could use existing and “to be” architecture data to run “what if..” modeling scenarios

Received numerous cash bonuses as well as stock option awards.

PRIOR EMPLOYMENT EXPERIENCE

CACI

Project: Requirements Office

Role: Project Manager/Technical Lead/Task Lead

Duration: February 2003 to January 2004

Description: SIGINT Requirements Technical Lead (Project within the NEADS program); capture and documentation NSA requirements; transition them from the Operational Requirements Documents, to Mission Needs Statements, to Capability Statements; ensured representation in the “to be” and transitional enterprise architectures.

Responsibilities:

- Project Management – Developed Technical Task Orders (TTOs); budgeting; staffing; EV; WBS; operated P&L center; authored self-assessments
- Scheduling – Developed the Integrated Master Schedule (IMS) using Microsoft Project
- Interviewed/hired candidates; oversaw development and training of staff of 20
- Project sizes ranged from 8 to 20 personnel.
- Purchasing – Coordinated source selection and purchasing of services from subcontractors, and specialized software
- Requirements Management – Under the new DoD 5000, requirements management terminology underwent a major change from “Requirements” to “Capabilities”; we had to work closely with hundreds of customers to redefine the actual operational capability that was desired, and then evaluate approaches such as increased manpower, training, or acquisitions to see if system development was the only alternative to capability instantiation; only then was a “systems requirement” defined and considered
- Process Development/Business Process Re-engineering – Took existing processes, in light of changing DoD regulations in DoD 5000 and CJCSI 3170 and desire to update existing processes; represented overall capabilities in new Operational Readiness Documents, and later in the new Mission Capabilities Documents
- Proposal writing, Red Teams, and other joint efforts

Tools Used:

- System Architect – UML, case Modeling in the DODAF tab
- DOORS – Requirements Management, the purpose of the office was Requirements for a DoD Agency, so we had an extensive requirements database
- Microsoft Office – Word, Excel, PowerPoint, Project (IMS development and maintenance)

Recognized by EVP of Business Group 02 for outstanding CSSR reporting; received cash bonus.

Project: STAR SAPPHIRE

Role: Project Manager

Duration: June 2000 to February 2003

Description: Development of the Advanced ELINT Systems Database; Goal was to consolidate several community ELINT databases and add a predictive functionality from capture and categorization of over 35 ELINT system parametrics.

Responsibilities:

- Project Management – TTO development; budgeting; staffing; EV; developed and maintained detailed WBS of approximately 1200 work packages per build; self-assessments

- Technical/Management – Oversaw programmatic interfaces necessary between PMO and the utilization of a system using a Java client, RMI, and an Oracle 8i database utilizing Secure Access and Oracle Label Security, XML, CORBA (Software/system purchasing, training, cost projections, Object-Oriented cost estimation) managed team of 12, project sizes ranged from 4 to 35.
- Business Process Analysis and Reengineering – Project was the compilation of existing database systems; fundamental business processes underlying each of the existing system functions had to be reduplicated; and resulting processes had to be improved; terminology standardized; interfaces streamlined
- OOA/OOD – Top-down OOA/OOD was used throughout the application with traceability from major requirements, through Java GUIs, Java methods, XML communications, SQL parser, database tables, SQL and XML back out to the display GUI; this facilitated maximum reuse of classes, methods, and GUI components
- Requirements Management – Worked directly with customers in joint requirements development - Requirements had to be gathered from approximately 50 customer locations around the globe; requirements had to be collected, prioritized, and funded by multiple customers; requirements were traceable to customer, funding, software modules, and test cases
- Purchasing – Ultimate signature authority in purchasing services from subcontractors, specialized software (Oracle, TogetherSoft IDEs, etc.) project hardware, and Government-owned hardware/software
- Reporting - Authored Monthly Status Reviews (MSR), Program Status Reviews (PSR), and Intermediate Program Reviews
- Planning - Authored PMP and Software development Plan, Software QA Plan, Software Test plan among many others
- Intimately familiar with SEI's CMM (CACI is rated CMM Level 3), Mil-Std 498, ISO, and related IEEE 12207 software development and quality assurance standards

Tools Used:

- Power Builder and TogetherSoft IDEs – UML and Use Cases were all developed in TogetherSoft, which stubbed out much of the Java code; code was more fully developed in Power Builder, which was the required compiler for the project to ensure cross-platform compatibility
- RequisitePro, DOORS for requirements management – initially began the project using RequisitePro, which linked well to UML and Use Cases, but DOORS was later required by the customer to provide traceability to external projects, and the customer did not have to pay for DOORS
- Oracle 8i and 9i – with Oracle Label Security – approximately 35 major tables, not including metadata
- ErWIN – Database development – we developed in ErWIN to implement in Oracle and Access, although we just used the Access documentation functionality
- RoboHelp – Throughout the development process we simultaneously developed Robohelp tools that utilized requirements documents, prototype screenshots and later actual screenshots, to simultaneously develop the Help system for the application; “Help” was available immediately when functionality was delivered
- Rational Robot Test Tools – Utilized to test all portions of the software
- Clear Case and CVS (Concurrent Versioning System) – Software Configuration Management; daily CM was handled with CVS, completed modules were managed with Clear Case

- Clear Quest – Software Defect/Bug Tracking tool – Traditional three-tier bug tracking – Critical (crashed the app); Major (required functionality); Enhancement (possible new requirement, or logical enhancement if funded)

Customer satisfaction resulted in doubling budget and staff annually during tenure

SYTEX, INC.

Project: All Source Analysis System

Role: Software/Systems Engineer

Duration: August 1999 to June 2000

Description: The All Source Analysis System (ASAS) was the intelligence component of the Army Battlefield Combat System (ABCS)

Responsibilities:

- Oversaw team of 5, project sizes ranged from 4 to 10.
- Software development – all phases, from requirements elicitation jointly with the Government customer and finalization, test development, development strategies, platform and language selection
- Reporting – Reported to the PMO the testing and integration results of jointly developed systems using 6.X UNIX and Windows NT; made recommendations on scheduling testing and further development; interface between integrators/developers and test community; tracked software discrepancy and problem reports
- Interviewing - Interviewed potential employees; screened for technical expertise and previous technical work experience; made recommendations to roll onto or off contract based on job performance
- Scheduling - Developed and refined work packages, work package integration, and validated task orders and labor categories against work packages; tracked development progress and monitored integration status.
- Represented Program Office – PMO representative at Project Executive Office-level Design Management Control Board meetings
- Directly supported Program Manager, Chief, and Technical Management Division on all software issues

US AIR FORCE

Duration: 1979 to 1999

Responsibilities:

- Managed teams of 20, project sizes ranged from 4 to 65.
- Technical Management - Superintended a network of 32 Sun Sparc/IBM 6000 workstations with SunServer 690s connected to a CAN/WAN; selected information system configurations appropriate to types of data being processed (digital audio, graphic, facsimile, image, and data); developed production controls and standards; managed upgrades from requirements through implementation
- System Maintenance - Recommended reconfiguration as appropriate; maintained Perl scripts to format data, update logs, post data to Intranet, and broadcast email
- Planning – planned and scheduled workloads
- Programming – authored multiple WEB pages using with imbedded graphics and audio files for use as training guides, SOPs, and to brief VIPs; evaluated prototype applications

- Translation - Personally translated the most technical foreign language information and defense systems-related materials
- Supervision - Supervised the efforts of language analysts, systems analysts, mathematicians, and computer scientists teamed – up to 100 personnel on occasions
- Network Reconstruction; reconstruction of networks, architectures and systems from available information
- Tool Development - Assisted in the development of automated tools that would sift through large volumes of computer data to find specific, perishable, and high-interest foreign language material that fulfilled national-level intelligence requirements
- Executive Administration - Ensured Commander-level involvement in appropriate personnel decisions; kept Commander apprised of significant operational issues; served as the Group Protocol Officer, coordinating clearances, itineraries, and meetings as appropriate

Received the Defense Meritorious Service Medal; Air Force Meritorious Service Medal; Air Medal (8 Oak Leaf Clusters); Air Force Commendation Medal (2 Oak Leaf Clusters); the Air Force Achievement Medal, and numerous other NCO and Senior NCO awards.



Thomas Houston
Senior Consultant

REFERENCES

Name: Maurice Sandoval

Role: President of Farfield Systems Inc.

Phone: 240-554-3040

Email: msandoval@farfieldsystems.com

Name: Larry Medler

Role: CEO of The Kenjya Group, Inc

Phone: 410-740-4045

Email: larry.medler@kenjya.com

THOMAS J. KUMIEGA

SUMMARY OF QUALIFICATIONS

2005-2009 ThomSand Consulting Services Boston, NY

Project Manager

- Managed the collection of Preschool through grade 12 educational data for the New York State Education Department

1993-2004 ThomSand Consulting Services Boston, NY

Consultant/Owner

- Established an independent consulting practice in 1993, supporting educational agencies in New York State
- Experienced as a Project Coordinator for Decision Support Systems in NYS for the 12 Regional Information Centers
- Experienced in supporting the Special Education data reporting needs in the Buffalo School District, the Rochester School District and the WNY Regional Information Center
- Experienced in designing and implementing data warehouses for education
- Experienced in analyzing data for student performance, state and federal reporting, educational funding and special education compliance reporting
- Knowledgeable in the design, development and implementation of student management systems for large school districts and Regional Information Centers in NYS with an emphasis in Special Education

1981-1992 Computer Task Group, Inc. Buffalo, NY

Consultant

- Participated in a consulting practice within the organization specializing in K-12 educational student management application development for the Buffalo School District, NYS Education Department, WNY Regional Information Center, the Rochester School District, the CNY Regional Information Center
- Provided programming analysis for various manufacturing, banking and health care companies

EDUCATION

1981-1985 Canisius College Buffalo, NY

- M.B.A. / Accounting

1975-1980 Canisius College Buffalo, NY

- B.A. / Accounting

PHONE (716) 725-8884 • E-MAIL TKUMIEGA@ROADRUNNER.COM
9007 DOUGLAS LANE • BOSTON, NY 14025-9779

Project Narrative

Project Narrative - Appendix C Current Status of State's Longitudinal Data System

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AppendixC\AppendixC_submission.pdf**

APPENDIX C
LDS STATUS MATRIX

Appendix C – Current Status of State’s Longitudinal Data System

Capability/Element	Current Status	Related Outcomes
Capability #1 – P20 student progress over time, including preparation for postsecondary success	<p>Completed, Development, Development with IES funds, Developed with new grant, Improved with new grant</p> <p>In development with existing IES funds; to be improved with requested IES funds</p>	<p>Activity 1.2: Create and Implement a Common Set of Course Codes</p> <p>Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking</p> <p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p> <p>Activity 2.1: Improving the Architecture of the P12 Module</p> <p>Activity 2.2: Plan and Implement a Higher Education LDS module</p> <p>Activity 2.3: Planning the Linkages to Health/Human Services/Workforce and other Data</p> <p>Activity 3.1: Designing the Reports for a P16 Comprehensive Instructional Support System</p> <p>Activity 3.3 Designing the Reporting Layer for a P16 Instructional Report System</p> <p>Activity 5.1 Tracking Student P16 Progress Over Time</p> <p>Activity 5.2: Creating an “Early Warning System” for the P12 and 13-16 Systems</p> <p>Activity 5.3: Analysis of student</p>

		preparation for workforce programs and military service
Capability #2 – Exchange data within and between states to inform policy and practice	In development; to be improved with requested IES funds	<p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p> <p>Activity 2.1: Improving the Architecture of the P12 Module</p> <p>Activity 2.2: Plan and Implement a Higher Education LDS module</p> <p>Activity 2.3: Planning the Linkages to Health/Human Services/Workforce and other Data</p> <p>Activity 3.2: Designing the LDS Knowledge Management/Decision Support System</p> <p>Activity 4.1: Create an anonymous copy of the NYS P20 LDS</p> <p>Activity 4.2: Establishment of Policies and Controls on access to de-identified P20 LDS</p> <p>Activity 5.2: Creating an “Early Warning System” for the P12 and 13-16 Systems</p>
Capability #3 – Link Student Data With Teachers	In development with existing IES funds; to be improved with requested IES funds	<p>Activity 1.1: Integrate a Unique Teacher Identifier into the LDS</p> <p>Activity 1.2: Create and Implement a Common Set of Course Codes</p> <p>Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking</p> <p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p>

Capability #4 – Match teachers with their certification and preparation programs	Completed; To be integrated into LDS with requested IES funds	Activity 1.1: Integrate a Unique Teacher Identifier into the LDS
Capability #5 – Reports are easily generated for continuous improvement and decision-making	In development with existing IES funds; to be improved with requested IES funds	<p>Activity 1.1: Integrate a Unique Teacher Identifier into the LDS</p> <p>Activity 1.2: Create and Implement a Common Set of Course Codes</p> <p>Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking</p> <p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p> <p>Activity 2.1: Improving the Architecture of the P12 Module</p> <p>Activity 2.2: Plan and Implement a Higher Education LDS module</p> <p>Activity 2.3: Planning the Linkages to Health/Human Services/Workforce and other Data</p> <p>Activity 3.1: Designing the Reports for a P16 Comprehensive Instructional Support System</p> <p>Activity 3.3 Designing the Reporting Layer for a P16 Instructional Report System</p> <p>Activity 5.1 Tracking Student P16 Progress Over Time</p> <p>Activity 5.2: Creating an “Early Warning System” for the P12 and 13-16 Systems</p> <p>Activity 5.3: Analysis of student preparation for workforce programs and</p>

<p>Capability #6 – Ensure quality and integrity of data</p>	<p>In development with existing IES funds; to be improved with requested IES funds</p>	<p>military service</p> <p>Activity 1.1: Integrate a Unique Teacher Identifier into the LDS</p> <p>Activity 2.1: Improving the Architecture of the P12 Module</p> <p>Activity 2.2: Plan and Implement a Higher Education LDS module</p> <p>Activity 2.3: Planning the Linkages to Health/Human Services/Workforce and other Data</p> <p>Activity 4.1: Create an anonymous copy of the NYS P20 LDS</p> <p>Activity 4.2: Establishment of Policies and Controls on access to de-identified P20 LDS</p> <p>Activity 6.1: Implementing the P20 Data System Quality Control Team</p>
<p>Capability #7 – Compliance with Reporting Requirements</p>	<p>In development; to be improved with requested IES funds</p>	<p>Activity 1.2: Create and Implement a Common Set of Course Codes</p> <p>Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking</p> <p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p> <p>Activity 2.1: Improving the Architecture of the P12 Module</p> <p>Activity 4.1: Create an anonymous copy of the NYS P20 LDS</p> <p>Activity 4.2: Establishment of Policies and Controls on access to de-identified P20 LDS</p>

Element #1 – P16 unique statewide student identifier	In development; to be improved with requested IES funds	Activity 2.2: Plan and Implement a Higher Education LDS module
Element #2 – P16 student-level enrollment, demographic, programs information	In development; to be improved with requested IES funds	Activity 1.2: Create and Implement a Common Set of Course Codes Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking Activity 2.2: Plan and Implement a Higher Education LDS module
Element #3 – P16 student-level information about exit, transfer, dropout, completion	In development; to be improved with requested IES funds	Activity 1.2: Create and Implement a Common Set of Course Codes Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking Activity 2.2: Plan and Implement a Higher Education LDS module
Element #4 – Capacity to communicate with higher education data system	In development; to be improved with requested IES funds	Activity 2.1: Improving the Architecture of the P12 Module Activity 2.2: Plan and Implement a Higher Education LDS module
Element #5 – P16 data audit system	In development with existing IES funds; to be improved with requested IES funds	Activity 1.1: Integrate a Unique Teacher Identifier into the LDS Activity 2.1: Improving the Architecture of the P12 Module Activity 2.2: Plan and Implement a Higher Education LDS module Activity 6.1: Implementing the P20 Data System Quality Control Team
Element #6 – P12 yearly test records of individual students	Completed	

Element #7 – P12 information on students not tested, by grade and subject	Completed	
Element #8 – A P12 teacher identifier system, with ability to match teachers to students	In development with existing IES funds; to be improved with requested IES funds	Activity 1.1: Integrate a Unique Teacher Identifier into the LDS

Element #9 – P12 student transcript information, including courses completed and grades earned	In development; to be improved with requested IES funds	<p>Activity 1.1: Integrate a Unique Teacher Identifier into the LDS</p> <p>Activity 1.2: Create and Implement a Common Set of Course Codes</p> <p>Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking</p> <p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p>
Element #10 – Student-level college readiness scores	To be developed with requested IES funds	<p>Activity 1.2: Create and Implement a Common Set of Course Codes</p> <p>Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking</p> <p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p>
Element #11 – Data that reveal success in student transitions to postsecondary education, including remedial coursework	To be developed with requested IES funds	<p>Activity 1.2: Create and Implement a Common Set of Course Codes</p> <p>Activity 1.3 Provide Information, Training, Guidelines and Support to LEAs for Implementation of Student-Teacher Linking</p> <p>Activity 1.4: Expansion of the LDS to include ancillary data elements in support of teacher-student linking</p> <p>Activity 2.2: Plan and Implement a Higher Education LDS module</p>
Element #12 – Data that provide other	To be developed with requested IES funds	Activity 1.1: Integrate a Unique Teacher

information necessary to prepare students for postsecondary education		Identifier into the LDS Activity 2.2: Plan and Implement a Higher Education LDS module
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Project Narrative

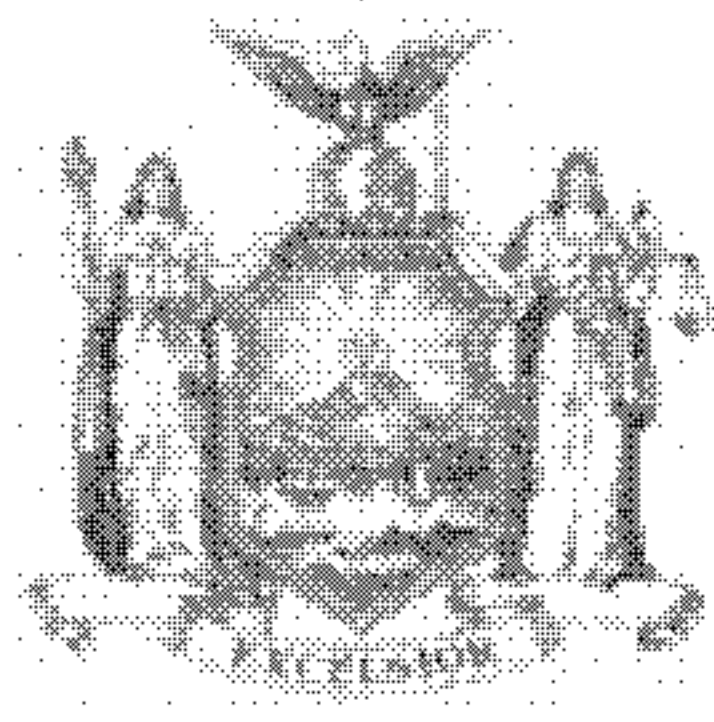
Project Narrative - Appendix D Letters of Support

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APPENDIX D
LETTERS OF SUPPORT

- 1. THE GOVERNOR OF THE STATE OF NEW YORK, THE HONORABLE DAVID A. PATTERSON**
- 2. LETTER OF SUPPORT FROM THE CITY UNIVERSITY OF NEW YORK**
- 3. LETTER OF SUPPORT FROM THE New York City DEPARTMENT OF EDUCATION**
- 4. LETTER OF SUPPORT FROM THE SYRACUSE CITY SCHOOLS**
- 5. LETTER OF SUPPORT FROM THE YONKERS CITY SCHOOLS**
- 6. LETTER OF SUPPORT FROM THE AMERICAN INSTITUTES FOR RESEARCH**
- 7. LETTER OF SUPPORT FROM STATE UNIVERSITY OF NEW YORK**



STATE OF NEW YORK
EXECUTIVE CHAMBER
ALBANY 12224

DAVID A. PATERSON
GOVERNOR

November 30, 2009

Dr. Tate Gould
Institute of Education Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006

Dear Dr. Gould,

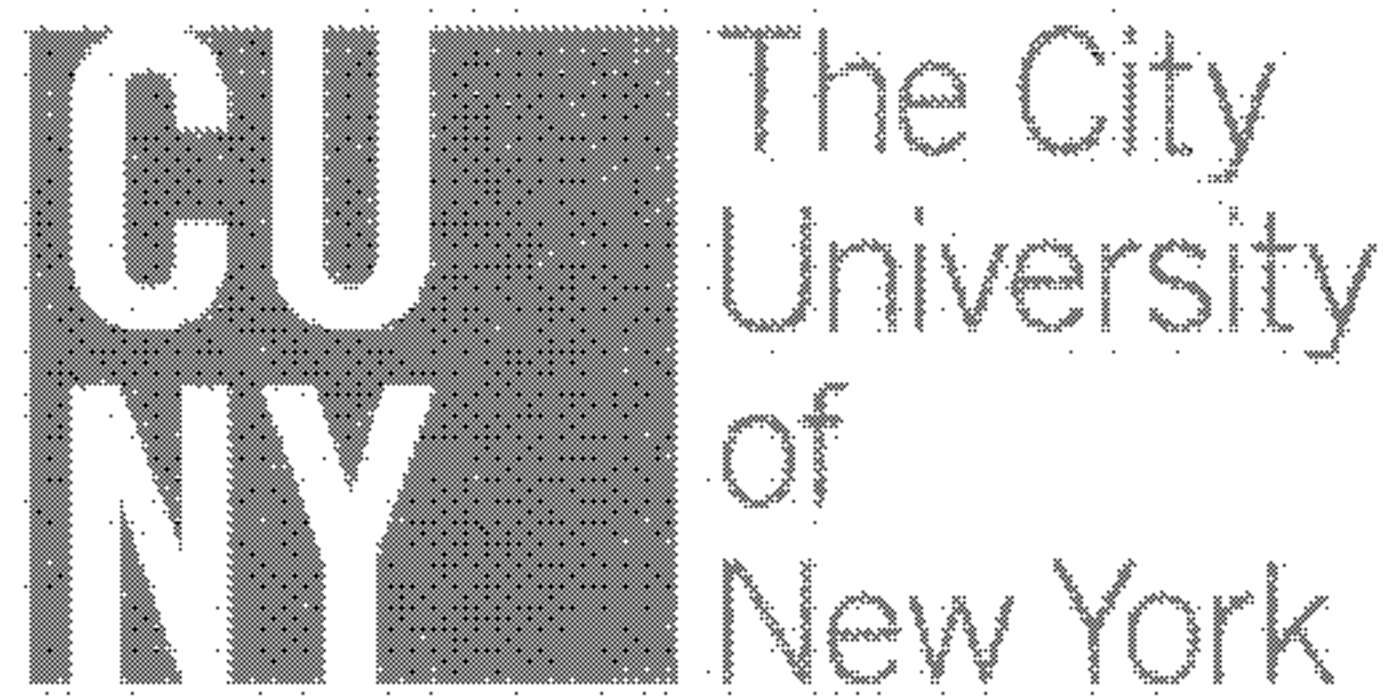
I wholeheartedly endorse the New York State Education Department's application for the 2009 Institute of Education Sciences grant to expand New York's longitudinal data system. I am committed to ensure that all of New York State's government agencies in Labor, Health, Human Services and Education cooperate to link and analyze their data. New York will create an outstanding P-20 data system that will incorporate all the elements of the America Competes Act, create an instructional reporting and improvement system, enhance teacher preparation and induction, and track and improve the progress of students from early childhood through college and the workforce. This data system will be an important tool in helping to improve New York's economic health and security.

Warmest regards.

Sincerely,

A handwritten signature in cursive script that reads "David A. Paterson".

David A. Paterson



The Chancellor

December 2, 2009

Dr. Tate Gould
Institute of Education Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, D.C. 20006

Dear Dr. Gould:

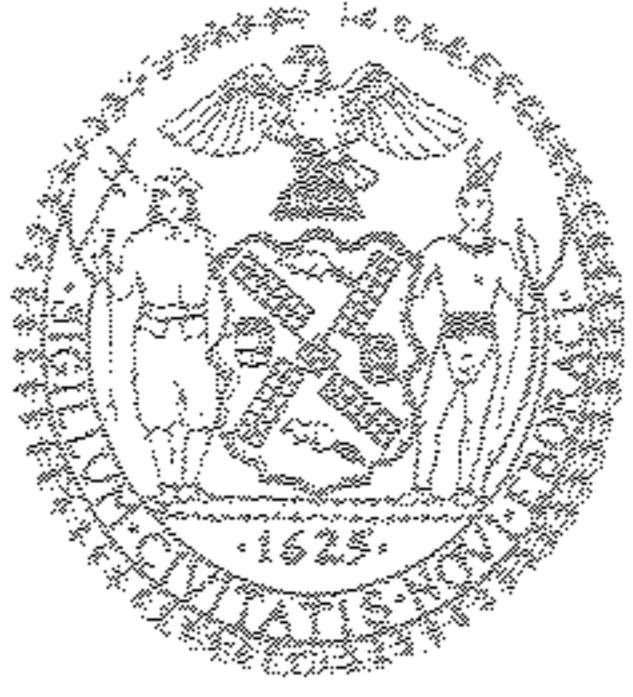
On behalf of The City University of New York (CUNY), I enthusiastically endorse the New York State Education Department's application for the 2009 Institute of Education Sciences grant to expand New York's longitudinal data system. CUNY has entered into a Memorandum of Understanding with the New York State Board of Regents and other key partners to create an outstanding P-20 data system. This data system will incorporate all the elements of the America Competes Act, create an instructional reporting and improvement system, enhance teacher preparation and induction, and track and improve the progress of students from early childhood through college and into the workforce.

We are fully committed to a close and cooperative relationship with the Regents, P-12 education, and other members of the higher education sector in New York State to carry out this work during the next several years.

Sincerely,

A handwritten signature in black ink that reads "Matthew Goldstein". The signature is written in a cursive, flowing style.

Matthew Goldstein



THE NEW YORK CITY DEPARTMENT OF EDUCATION

JOEL I. KLEIN, *Chancellor*

OFFICE OF THE CHANCELLOR

52 CHAMBERS STREET - NEW YORK, NY 10007

December 2, 2009

Dr. Tate Gould
Institute of Education Sciences
National Center for Education Statistics
1990 K Street NW
Room 9023
Washington, DC 20006

Dear Dr. Gould:

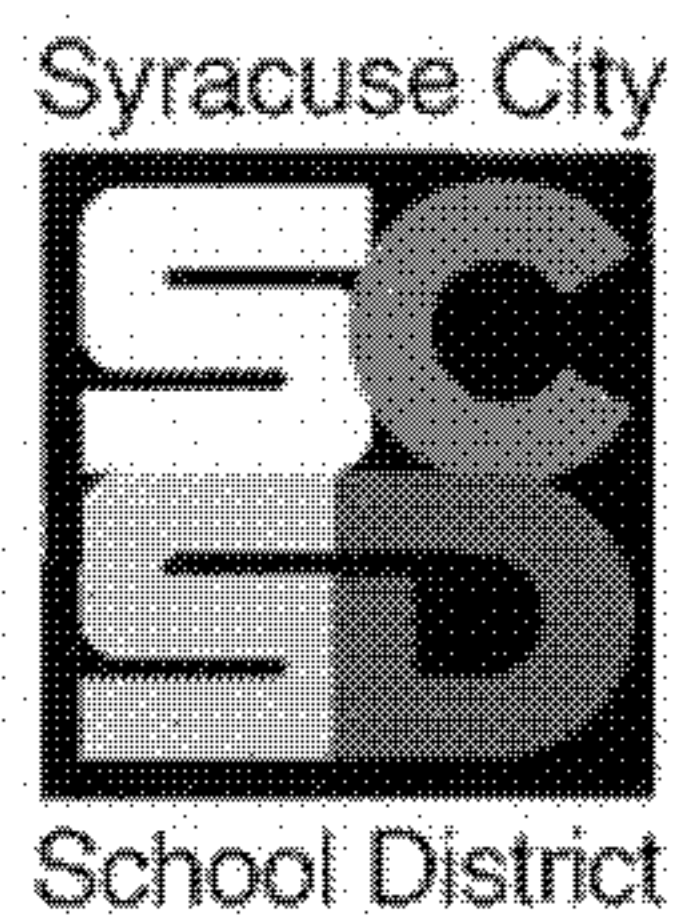
On behalf of the New York City Department of Education, I endorse the New York State Education Department's application for the 2009 Institute of Education Sciences grant to expand New York's longitudinal data system. The New York City Department of Education has entered into a Memorandum of Understanding (MOU) with the New York State Board of Regents and other key partners to create an exceptional P-20 data system. This data system will incorporate all of the components of the America Competes Act, create an instructional reporting and improvement system, enhance teacher preparation and induction, and track and improve the progress of students from early childhood through college and into the workforce.

We are committed to a close and cooperative relationship with the New York State Regents, and New York State's P-12 education and higher education divisions in carrying out this work during the next several years.

Sincerely,

A handwritten signature in dark ink, appearing to read "Joel I. Klein", with a long horizontal flourish extending to the right.

Joel I. Klein
Chancellor



Anita M. Murphy
Deputy Superintendent for Information & Technology
Central Technical Vocational Center
258 East Adams Street
Syracuse, New York 13202
(315) 435-4281

November 30, 2009

Mr. Alan Ray
Assistant Commissioner
Policy and Strategic Planning, P-16
The State Education Department
The University of the State of New York
Albany, NY 12234

Subject: 2009 Institute of Education Sciences Grant

Dear Assistant Commissioner Ray:

On behalf of the Syracuse City School District, I enthusiastically endorse the New York State Education Department's application for the 2009 Institute of Education Sciences grant to expand New York's longitudinal data system. Syracuse City Schools has entered into a Memorandum of Understanding with the New York State Board of Regents and other key partners to create an outstanding P-20 data system. This data system will incorporate all the elements of the America Competes Act, create an instructional reporting and improvement system, enhance teacher preparation and induction, and track and improve the progress of students from early childhood through college and the workforce.

We are fully committed to a close and cooperative relationship with the Regents, P-12 education, and higher education in carrying out this work during the next several years.

Sincerest Regards,

Anita M. Murphy
Deputy Superintendent of Schools
Syracuse City School District



One Larkin Center
Yonkers, New York 10701
Tel. 914 376-8100
Fax 914 376-8584
bpierorazio@yonkerspublicschools.org

Bernard P. Pierorazio
Superintendent of Schools

November 30, 2009

Dr. Tate Gould
Institute of Education Sciences
National Center for Education Statistics
1990 K Street, NW., Room 9023
Washington, DC 20006

Dear Dr. Gould:

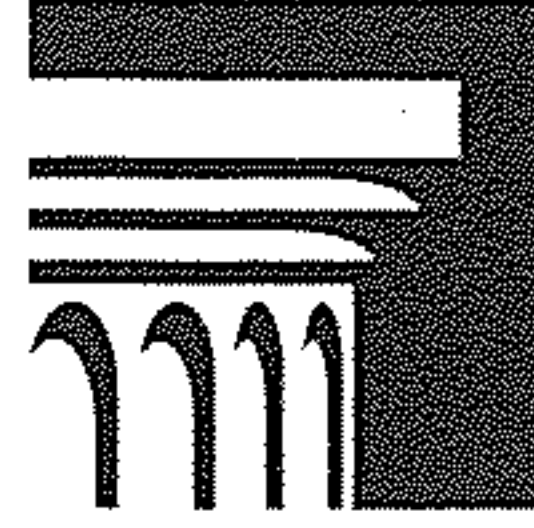
On behalf of Yonkers Public Schools, I strongly endorse the New York State Education Department's application for the 2009 Institute of Education Sciences grant to expand New York's longitudinal data system. Yonkers Public Schools has entered into a Memorandum of Understanding with the New York State Board of Regents and other key partners to create an outstanding P-20 data system. This data system will incorporate all the elements of the America Competes Act, create an instructional reporting and improvement system, enhance teacher preparation and induction, and track and improve the progress of students from early childhood through college and the workforce. I look forward to benefits from these initiatives bringing value to the students, staff and parents in this and other districts in New York State.

We are fully committed to a close and cooperative relationship with the Regents, P-12 education, and higher education in carrying out this work during the next several years.

Sincerely,

Bernard P. Pierorazio

BPP:br



AMERICAN INSTITUTES FOR RESEARCH®

December 1, 2009

Dr. Tate Gould
Institute of Education Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006

Dear Dr. Gould:

I am writing to endorse the New York State Education Department's (SED) application for the 2009 Institute of Education Sciences grant to expand New York's longitudinal data system. I know of their work as a researcher who has used SED data and as a consultant to the office on the Governor regarding the creation of research-based indicators across multiple child-serving departments.

I have reviewed their proposal and believe that the work outlined in their application will go a long way toward ensuring that New York State's education and government entities in early childhood, health, human services, and labor will work closely together to track and improve the progress of individuals throughout their lives. New York will create an outstanding P-20 data system that will incorporate all the elements of the America Competes Act. This expanded data system can be used to enhance the welfare of children and families, create an instructional improvement system for the schools, improve readiness for school and college, and smooth the transition to careers and the workforce.

Yours sincerely,

David Osher PhD
Vice-President
Education, Human Development & The Workforce

THE STATE UNIVERSITY *of* NEW YORK

Nancy L. Zimpher
Chancellor

December 3, 2009

State University Plaza
Albany, New York
12246

518 443 5355
fax - 518 443 5360

chancellor@suny.edu
www.suny.edu

Commissioner David Steiner
New York State Department of Education
89 Washington Ave
Albany, NY 12234

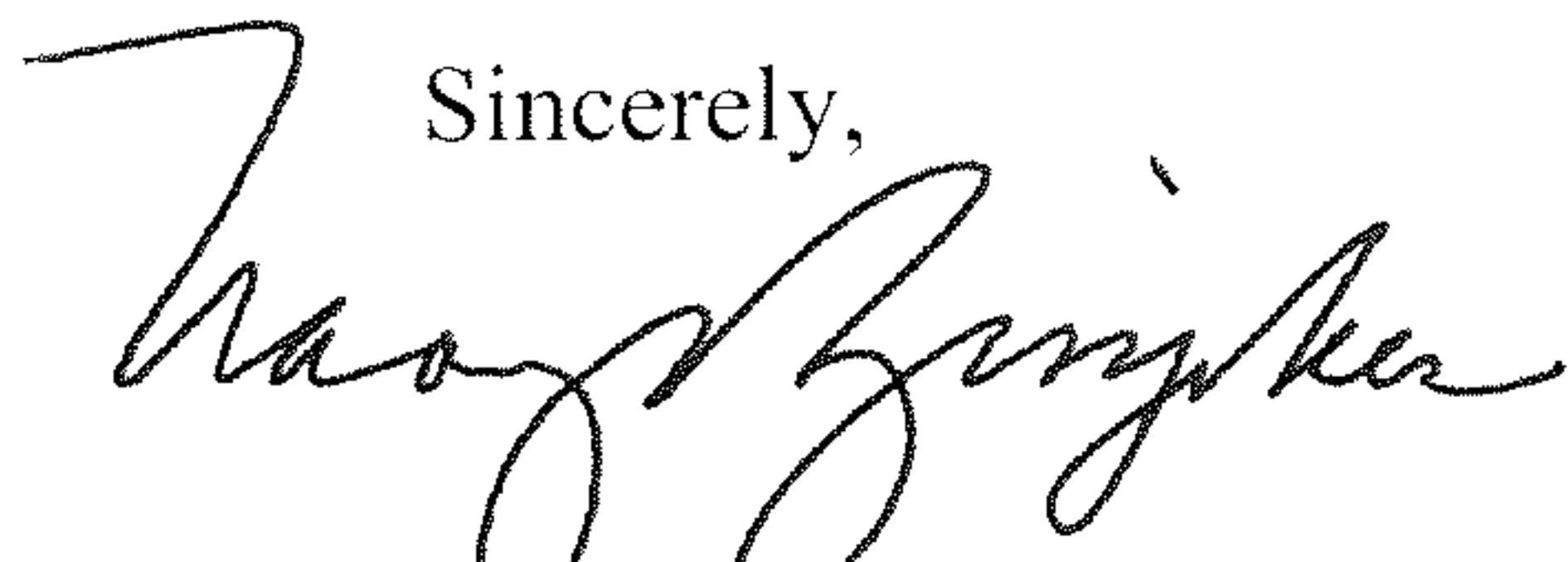
Dear David,

On behalf of The State University of New York, the largest comprehensive public higher education system in the nation, I write to express our support of the New York State Education Department's application for the 2009 Institute of Education Sciences grant to expand New York's longitudinal data system. The State University has entered into a Memorandum of Understanding with the New York State Board of Regents and other key partners in creating this new P-20 data system. This data system is being designed to create an instructional reporting and improvement system that will enhance teacher preparation and induction, as well as track and improve the progress of students from early childhood through college and into the workforce.

A fully developed P-20 will provide the State University with critical information that will support the education pipeline for New York's citizens to compete in today's global economy. The State University is fully committed to working with the Board of Regents, the State Education Department, the City University of New York (CUNY), and the private sector of higher education sector in developing this system over the next several years.

I am available to discuss this further if you have any questions I can be reached at 518-443-5355.

Sincerely,



Nancy L. Zimpher
Chancellor

UNIVERSITY CENTERS AND DOCTORAL DEGREE GRANTING INSTITUTIONS University at Albany • Binghamton University • University at Buffalo • Stony Brook University • SUNY Downstate Medical Center • Upstate Medical University • College of Environmental Science and Forestry • College of Optometry • NYS College of Ceramics at Alfred University • NYS College of Agriculture/Life Sciences at Cornell University • NYS College of Human Ecology at Cornell University • NYS College of Industrial/Labor Relations at Cornell University • NYS College of Veterinary Medicine at Cornell University UNIVERSITY COLLEGES SUNY Brockport • Buffalo State College • SUNY Cortland • Empire State College • SUNY Fredonia • SUNY Geneseo • SUNY New Paltz • SUNY Old Westbury • College at Oneonta • SUNY Oswego • SUNY Plattsburgh • SUNY Potsdam • Purchase College TECHNOLOGY COLLEGES Alfred State College • SUNY Canton • SUNY Cobleskill • SUNY Delhi • Farmingdale State College • Maritime College • Morrisville State College • SUNY Institute of Technology COMMUNITY COLLEGES Adirondack • Broome • Cayuga County • Clinton • Columbia-Greene • Corning • Dutchess • Erie • Fashion Institute of Technology • Finger Lakes • Fulton-Montgomery • Genesee • Herkimer County • Hudson Valley • Jamestown • Jefferson • Mohawk Valley • Monroe • Nassau • Niagara County • North Country • Onondaga • Orange County • Rockland • Schenectady County • Suffolk County • Sullivan County • Tompkins Cortland • Ulster County • Westchester

Budget Narrative

Budget Narrative - Budget Justification

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Part 7: BUDGET NARRATIVE:

Objective 1:

Objective 1 focuses on two major activities: the extension of the LDS to include student-teacher linking and the expansion of the data base to include new data elements. These activities will require staff, consulting assistance, and an increase in the state's hardware and software infrastructure.

Staff: To oversee these activities and continue to support them after they are developed, a data manager and a .5 Clerical Support Staff will be added to the staff of the Office of Information and Reporting Services. At current negotiated rates, the cost of these staff is: .5 fte: \$13,500 annually with an estimated 3% per year increase in compensation.

Data Manager: at 1 fte: \$77,000 annually with an estimated 3% per year increase in compensation.

Consulting: As described in the staffing section of this grant document, these activities will also require consulting assistance. A data architect will be retained to assist in creating the data model for the expanded LDS and two Business Analysts will be retained to provide guidance in creating teacher ids, universal course codes, defining the new data elements, etc.

At current rates in the New York State region, these services are estimated at:

Data Architect: \$150,000 for year one.

Business Analyst: \$120,000 per year with 2 analysts retained in year 1 and only one retained in year 2.

Hardware and Software: The LDS in New York State is supported in a distributed fashion by Regional Information Centers. Each acts as a local data warehouse and provides services to LEAs in collecting and cleaning data at the front end of the system. The expansion of the LDS to include the attributes described in the narrative will require an extension of the hardware and software infrastructure in these regional entities.

Increased hardware is estimated at \$330,000 total across 11 Centers. Increased data base licenses for Oracle are estimated at \$1,500,000 across these 11 Centers. In addition, these Centers will have to increase their support staff to assist LEAs in making the needed changes. There are a total of 13 Centers that provide this type of support. Additional assistance for these Centers is estimated at \$130,000 per Center.

Other: The budget for Objective 1 also includes \$30,000 per year for two years to support the cost of the planning effort described in the narrative.

Total Budget for Objective 1: \$ 8,554,682

Objective 2: Creation of a P20 System

This activity proposes the creation of a P20 system by independently establishing the “building blocks” of that system. Specifically, the activities propose a re-engineering of the existing P12 system, the creation of system-wide data warehouses for our two University systems – SUNY and CUNY, and the creation of data links to various workforce data bases. The estimated budget is organized around these constructs.

In addition, these funds will provide resource support so that university systems can define, collect, and report all data elements related to current and future State and federal requirements, including student-level enrollment, demographic, and program participation information; student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete post-secondary education programs; information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether student enroll in remedial coursework; the number and percentage of students who graduate from high school who enroll in an institution of higher education (IHE) within 16 months of receiving a regular high school diploma and who complete at least one year's worth of college credit within two years of enrollment in the IHE."

Staffing: this endeavor is of substantial magnitude to include a full time Grant Manager added to the staff of the Office of Information and Reporting Services. This person will coordinate all the activities related to the implementation of this objective and will have oversight responsibilities for the other objectives being proposed in this grant application.

This position is estimated at \$80,000 per year with a 3% annual increase in compensation.

This position will be supported by a full time Clerical Support Staff. This position is estimated at \$27,000 per year with a 3% annual increase in compensation.

Consulting: Two data architects will be retained to guide the development of the data warehouses for the two University systems. These services are estimated at \$150,000 each.

A Business Analyst will be retained to coordinate the technical efforts of the two university systems and the re-engineering of the P12 system. It will be the responsibility of this analyst to insure that those development efforts are done in a manner that makes the systems compatible and able to be merged into a full P20 system. This service is estimated at \$120,000 per year for 3 years.

Support Costs: Each University system will require substantial additional resources to develop a data warehouse, while continuing to operate their current operational system. These resources will take the form of adding DBAs, needed hardware, data modeling software, and other support structures. The budget for Objective 2 includes an amount to assist the University systems in offsetting these costs. This offset is estimated at \$500,000 per system per year for three years.

In addition to the University systems development of individual data warehouses, the P12 system will be re-developed around an Operational Data Store (see appendix A for sample architecture). As currently envisioned, the ODS will feature a “middle-ware” module that will act as a “rules engine” to assure statewide integrity of data. The products to support the ODS will

be acquired via the RFP process. Objective 2 has a budgeted amount of \$1,500,000 per year for two years to help offset the cost of this acquisition.

The 16 to 20 module will be designed using a cooperative inter-agency planning process. The budget requests \$30,000 per year for three years to support this planning process.

Total 3 year budget for Objective 2: \$ 7,923,049

Objective 3: Creation of an Instructional Support System

This activity is essentially a planning activity to create the specifications for an Instructional Support System. The System itself will be acquired using other state and federal funds.

Staff: An Clerical Support Staff is included to help support the planning effort. This position is budgeted at \$27,000 per year with an annual increase of 3% in compensation.

A Database Administrator will be added to the staff to assist in planning the design of the Instructional Support System, then will stay on staff to manage the resulting system. This position is estimated at a salary of \$80,000 with an annual increase of 3%.

Consulting: A Business Analyst will be retained to create the technical specifications for the reports and write the required RFP. The estimated cost of this service is \$120,000 for one year.

Other Costs: The creation and dissemination of training resources to support the LEAs in the use of the system will be offset by a \$200,000 allocation per year for two years. Additionally, \$30,000 has been budgeted in years one and two to support the planning process.

While this grant will not be used to acquire the new system, it will provide for the hosting of this system. An amount of \$300,000 has been included to create a hosting site.

Total 3 year budget for Objective 3: \$ 1,453,048

Objective 4: Creation of a Data Base to support research and policy analysis

This data base will be derived from the completed P20 system.

Staff: A staff DBA will be added in year 3 of grant activities to participate in the development of this data base, and then stay on staff to manage it. This position is estimated at \$84,872

Consulting: A Systems Integrator will be retained for one year to design the database. This service is estimated at \$150,000.

A Business Analyst will be retained for one year to work with the P20 partners to coordinate their research and policy needs as that relates to the design of the database. This service is estimated at \$120,000.

The cost hardware and software to actually create and host the database is estimated at \$100,000 each.

Planning support of \$20,000 is included in the budget.

Total budget for Objective 4: \$ 637,058

Objective 5: Process for Tracking Student Progress

This is essentially a planning activity creating specifications for certain sub-modules of the Instructional Support System.

Staff: A Database Administrator will be added to staff to assist in planning the design of the application, then will remain on staff to support the application. This position is estimated at \$80,000 in year one with annual increases of 3%.

Consulting: A Business Analyst will be retained to work with the state's business partners in the process of creating the system specifications. The cost of this service is estimated at \$120,000 per planning year.

Planning support of \$20,000 per year is included in the budget.

Total 3 year budget for Objective 5: \$ 848,448

Objective 6: Creation of Quality Control Processes

This objective is accomplished by adding a staff member responsible for implementing all quality control processes across the entire system. This position is budgeted at \$80,000 per year with a 3% increase in compensation annually.

\$30,000 in planning support is included in year 1 to establish the Quality Control procedures.

Total 3 year budget for Objective 6: \$ 458,448

Budget Narrative

Budget Narrative - ED 524 Section C Spreadsheet

Attachment 1:

Title: Pages: **0** Uploaded File: **C:\Documents and Settings\mireland\Desktop\FINAL-FINALSubmission120309
\part 7 Budget workbook ies2 113009 ed524 version for submission.pdf**

Objective 1: Linking student -teacher/additional data elements

Budget Categories
Form ED 524

DESCRIPTION	Year 1		Year 2		Year 3		Year 3		Total
	Amount	quant/fte	Amount	quant/fte	Amount	quant/fte	Amount	total	
Personnel	\$ 77,000	1	\$ 77,000	1	\$ 81,689	1	\$ 81,689	\$ 237,999	
Fringe Benefits @ 42.67%	\$ 27,000	0.5	\$ 13,500	0.5	\$ 13,905	0.5	\$ 14,322	\$ 41,727	
Travel			\$ 38,616		\$ 39,775		\$ 40,968	\$ 119,359	
Equipment	\$ 30,000	1	\$ 30,000	1	\$ 30,000		\$ -	\$ 60,000	
Supplies	\$ 30,000	11	\$ 330,000		\$ -		\$ -	\$ 330,000	
Contractual	\$ 1,500,000	1	\$ 1,500,000	1	\$ 300,000	1	\$ 300,000	\$ 2,100,000	
	\$ 150,000	1	\$ 150,000		\$ -		\$ -	\$ 150,000	
	\$ 120,000	2	\$ 240,000	1	\$ 120,000		\$ -	\$ 360,000	
	\$ 130,000	13	\$ 1,690,000	13	\$ 1,690,000	13	\$ 1,690,000	\$ 5,070,000	
Construction	\$ -		\$ -		\$ -		\$ -	\$ -	
Other	\$ -		\$ -		\$ -		\$ -	\$ -	
Tot Direct Cost	\$ 4,069,116		\$ 4,069,116		\$ 2,272,990		\$ 2,126,980	\$ 8,469,086	
*Indirect Cost @ .306	\$ 27,693		\$ 27,693		\$ 28,524		\$ 29,380	\$ 85,596	
Training Stipends	\$ -		\$ -		\$ -		\$ -	\$ -	
Total Cost	\$ 4,096,809		\$ 4,096,809		\$ 2,301,514		\$ 2,156,359	\$ 8,554,682	

*NOTE: indirect cost is computed on Personnel costs only.

Objective 2: Create and Implement P20

Budget Categories
Form ED 524

DESCRIPTION	Year 1		Year 2		Year 3		Year 3		Total
	Amount	ear amt,	Amount	quant/fte	total	Amount	quant/fte	total	
Personnel									
Clerical Support	\$ 27,000	1 \$	\$ 27,000	1	\$ 27,810	\$ 28,644	1	\$ 28,644	\$ 83,454
Admin Grant Mgr	\$ 80,000	1 \$	\$ 80,000	1	\$ 82,400	\$ 84,872	1	\$ 84,872	\$ 247,272
		\$ -	\$ -		\$ -		\$ -	\$ -	
Fringe Benefits		\$ 45,657			\$ 47,027		\$ 48,437	\$ 141,121	
Travel	\$ 30,000	1 \$	\$ 30,000	1	\$ 30,000	\$ 30,000	1	\$ 30,000	\$ 90,000
Equipment		\$ -			\$ -		\$ -	\$ -	
Supplies		\$ -			\$ -		\$ -	\$ -	
Contractual									
Data Architect	\$ 150,000	2 \$	\$ 300,000	2	\$ 300,000	\$ 150,000	2	\$ 300,000	\$ 900,000
Support SUNY	\$ 500,000	1 \$	\$ 500,000	1	\$ 500,000	\$ 500,000	1	\$ 500,000	\$ 1,500,000
Support CUNY	\$ 500,000	1 \$	\$ 500,000	1	\$ 500,000	\$ 500,000	1	\$ 500,000	\$ 1,500,000
Business Analyst	\$ 120,000	1 \$	\$ 120,000	1	\$ 120,000	\$ 120,000	1	\$ 120,000	\$ 360,000
ODS RFP			\$ 1,500,000	1	\$ 1,500,000	\$ 1,500,000	1	\$ 1,500,000	\$ 3,000,000
Construction		\$ -			\$ -		\$ -	\$ -	
Other		\$ -			\$ -		\$ -	\$ -	
Tot Direct Cost		\$ 1,602,657			\$ 3,107,237		\$ 3,111,954	\$ 7,821,847	
*Indirect Cost @ .306		\$ 32,742			\$ 33,724		\$ 34,736	\$ 101,202	
Training Stipends		\$ -			\$ -		\$ -	\$ -	
Total Cost		\$ 1,635,399			\$ 3,140,961		\$ 3,146,690	\$ 7,923,049	

* Note: Indirect cost is computed at .306 of personnel costs only

Objective 3: Create Instructional Support System

Budget Categories
Form ED 524

	DESCRIPTION	Year 1		Year 2		Year 3		Year 3		Total
		Amount	ear amt,	Amount	quant./fte	Amount	quant./fte	Amount	total	
Personnel	Clerical Support	\$ 27,000	1 \$	\$ 27,810	1 \$	\$ 27,810	1 \$	\$ 28,644	28,644 \$	83,454
	DBA	\$ 80,000	1 \$	\$ 82,400	1 \$	\$ 82,399	1 \$	\$ 84,872	84,872 \$	247,271
			\$ -			\$ -				\$ -
			\$ -			\$ -		\$ -		\$ -
Fringe Benefits			\$ 45,657			\$ 47,026		\$ 48,437	48,437 \$	141,120
Travel	Planning Support	\$ 30,000	1 \$	30000	1 \$	30,000		-	- \$	60,000
Equipment	Host ISS		\$ -			-	1 \$	300,000	300,000 \$	300,000
Supplies			\$ -			-		-	- \$	-
Contractual	Busn Analyst	\$ 120,000	1 \$	120,000		-		-	- \$	120,000
	Instr Support RFP		\$ -			-	1 \$	-	- \$	-
	Training Support		\$ -	\$ 200,000	1 \$	200,000	1 \$	200,000	200,000 \$	400,000
			\$ -			-		-	- \$	-
			\$ -			-		-	- \$	-
Construction			\$ -			-		-	- \$	-
Other			\$ -			-		-	- \$	-
Tot Direct Cost		\$ 302,657				387,235		661,954	661,954 \$	1,351,846
*Indirect Cost @ .306		\$ 32,742				33,724		34,736	34,736 \$	101,202
Training Stipends		\$ -				-		-	- \$	-
Total Cost		\$ 335,399				420,959		696,690	696,690 \$	1,453,048

* Note: Indirect cost is computed at .306 of personnel costs only

Objective 4: Create anonymous database for policy analysis

Budget Categories
Form ED 524

DESCRIPTION	Year 1		Year 2		Year 3		Total
	Amount	quant.	Amount	quant./fte	Amount	quant./fte	
Personnel	\$	-	\$	-	\$	84,872	1 \$ 84,872 \$ 84,872
	\$	-	\$	-			\$ - \$ -
	\$	-	\$	-			\$ - \$ -
	\$	-	\$	-			\$ - \$ -
	\$	-					\$ 36,215 \$ 36,215
Fringe Benefits	\$	-					\$ 20,000 \$ 20,000
Travel	\$	-					\$ 100,000 \$ 100,000
Equipment	\$	-					\$ 100,000 \$ 100,000
Supplies	\$	-					\$ 150,000 \$ 150,000
Contractual	\$	-					\$ 120,000 \$ 120,000
	\$	-					\$ - \$ -
	\$	-					\$ - \$ -
	\$	-					\$ - \$ -
Construction	\$	-					\$ - \$ -
Other	\$	-					\$ - \$ -
Tot Direct Cost	\$	-					\$ 611,087 \$ 611,087
*Indirect Cost @ .306	\$	-					\$ 25,971 \$ 25,971
Training Stipends	\$	-					\$ - \$ -
Total Cost	\$	-					\$ 637,058 \$ 637,058

* Note: Indirect cost is computed at .306 of personnel costs only

Budget Categories
Form ED 524

* Note: Indirect cost is computed at .306 of personnel costs only

Budget Categories

Form ED 524

* Note: Indirect cost is computed at .306 of personnel costs only

Totals

	Year 1	Year 2	Year 3	Total
Objective 1	\$ 4,096,809	\$ 2,301,514	\$ 2,156,359	\$ 8,554,682
Objective 2	\$ 1,635,399	\$ 3,140,961	\$ 3,146,690	\$ 7,923,049
Objective 3	\$ 335,399	\$ 420,959	\$ 696,690	\$ 1,453,048
Objective 4	\$ -	\$ -	\$ 637,058	\$ 637,058
Objective 5	\$ 278,616	\$ 282,774	\$ 287,058	\$ 848,448
Objective 6	\$ 168,616	\$ 142,774	\$ 147,058	\$ 458,448
Total	\$ 6,514,839	\$ 6,288,983	\$ 7,070,912	\$ 19,874,733
				\$ 19,874,733

	Year 1	Year 2	Year 3	Totals
Personnel	\$ 464,500	\$ 478,435	\$ 577,659	\$ 1,520,594
Fringe Benefits	\$ 198,202	\$ 204,148	\$ 246,487	\$ 648,837
Travel	\$ 140,000	\$ 110,000	\$ 70,000	\$ 320,000
Equipment	\$ 330,000		\$ 400,000	\$ 730,000
Supplies	\$ 1,500,000	\$ 300,000	\$ 400,000	\$ 2,200,000
Contractual	\$ 3,740,000	\$ 5,050,000	\$ 5,200,000	\$ 13,990,000
Construction				
Other				
Total Direct Costs	\$ 6,372,702	\$ 6,142,583	\$ 6,894,146	\$ 19,409,431
Indirect Costs	\$ 142,137	\$ 146,400	\$ 176,765	\$ 465,302
Traing Stipends				
Total Costs	\$ 6,514,839	\$ 6,288,983	\$ 7,070,911	\$ 19,874,733